

Long Beach Airport



Disadvantaged Business Enterprise Program Plan

Fiscal Years 2013-2015

October 11, 2012

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CITY OF LONG BEACH

DEPARTMENT OF FINANCIAL MANAGEMENT

333 West Ocean Boulevard • Long Beach, CA 90802 • (562) 570-6845 • Fax (562) 570-5836

LONG BEACH AIRPORT DISADVANTAGED BUSINESS ENTERPRISE PROGRAM PLAN

POLICY STATEMENT

Section 26.1, 26.23 Objectives/Policy Statements

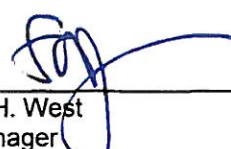
The City of Long Beach has established a Disadvantaged Business Enterprise (DBE) Program in accordance with regulations of the U.S. Department of Transportation (DOT), 49 CFR Part 26. The City of Long Beach has received federal financial assistance from the Department of Transportation, and as a condition of receiving this assistance, the City of Long Beach has signed an assurance that it will comply with 49 CFR Part 26.

It is the policy of the City of Long Beach to ensure that DBEs as defined in Part 26, have an equal opportunity to receive and participate in DOT-assisted contracts. It is also our policy:

1. To ensure nondiscrimination in the award and administration of DOT-assisted contracts;
2. To create a level playing field in which DBEs can compete fairly for DOT-assisted
3. contracts;
4. To ensure that the DBE Program is narrowly tailored in accordance with applicable law;
5. To ensure that only firms that comply with 49 CFR Part 26 eligibility standards are
6. permitted to participate as DBEs;
7. To ensure to the greatest extent feasible that DBEs have participation in DOT-assisted
8. contracts;
9. To assist and provide access to information to firms that can build their entity to compete successfully in the market place outside the DBE Program.

Mr. Erik Sund, Business Relations Manager/City Purchasing Agent, has been designated as the DBE Liaison Officer. In that capacity, Mr. Sund is responsible for implementing all aspects of the DBE Program. Implementation of the DBE Program is accorded the same priority as compliance with all other legal obligations incurred by the City of Long Beach in its financial assistance agreements with DOT.

The Long Beach Airport (LGB) has disseminated this policy statement to the Long Beach City Council, Mayor, City Engineer, Airport Advisory Commission, Airport Director and all of the components of our organization. We have distributed this statement to DBE and non-DBE business communities that perform work for us on DOT-assisted contracts through advertisement in the Long Beach Press Telegram, Small Business Exchange, and email to local business, and community organizations.



Patrick H. West
City Manager

9.28.12
Date

SUBPART A – GENERAL REQUIREMENTS

Section 26.1 Objectives

The objectives are found in the policy statement on the first page of this program.

Section 26.3 Applicability

The City of Long Beach (Airport Department) is the recipient of Federal airport funds authorized by 49 U.S.C. 47101, *et seq.*

Section 26.5 Definitions

The City will use terms in this program that have the meaning defined in Section 26.5.

Section 26.7 Non-discrimination Requirements

The City will never exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by 49 CFR Part 26 on the basis of race, color, sex, or national origin.

In administering its DBE program, the City will not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the DBE program with respect to individuals of a particular race, color, sex, or national origin.

Section 26.11 Record Keeping Requirements

Reporting to DOT: 26.11(b)

The City will submit the Uniform Report of DBE Awards or Commitments and Payment Form, as modified for use by FAA recipients, on June 1st and December 1st of each year (Attachment11).

Bidders List: 26.11(c)

The City will create and maintain a bidders list. The purpose of the list is to provide as accurate data as possible about the universe of DBE and non-DBE contractors and subcontractors who seek to work on our DOT-assisted contracts for use in helping to set our overall goals. The bidders list will include the name, address, DBE and non-DBE status, age of firm, and annual gross receipts of firms.

We will collect this information in the following ways:

- Bidders are requested to complete the City Bidder's Information Collection form at the time of Bid submittal through Planet Bids.
- Bidders are required to submit the information with their bid as directed in the Bid documents.
- The City's Purchasing Agent will collect the data from each bidder via survey.

Attachment 3 – Bidder's Information Collection Form

Section 26.13 Federal Financial Assistance Agreement

The City has signed the following assurances, applicable to all DOT-assisted contracts and their administration:

Assurance: 26.13(a)

The City shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any DOT assisted contract or in the administration of its DBE Program or the requirements of 49 CFR Part 26. The recipient shall take all necessary and reasonable steps under 49 CFR Part 26 to ensure nondiscrimination in the award and administration of DOT assisted contracts. The City's DBE Program, as required by 49 CFR Part 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the City of its failure to carry out its approved program, the Department may impose sanctions as provided for under Part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 *et seq.*).

This language will appear in financial assistance agreements with sub-recipients.

Contract Assurance: 26.13b

The City will ensure that the following clause is placed in every DOT-assisted contract and subcontract:

The contractor, sub-recipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate.

SUBPART B - ADMINISTRATIVE REQUIREMENTS

Section 26.21 DBE Program Updates

Since the City has received a grant of \$250,000 or more for airport planning or development, we will continue to carry out this program until all funds from DOT financial assistance have been expended. We will submit an updated goal every three years on August 1 if we plan to award contracts exceeding \$250,000 in FAA funds in that Federal fiscal year.

Section 26.23 Policy Statement

The Policy Statement is elaborated on the first page of this program.

Section 26.25 DBE Liaison Officer (DBELO)

We have designated the following individual as our DBE Liaison Officer:

Mr. Erik Sund, Business Relations Manager/City Purchasing Agent
Business Relations Bureau
Dept. of Financial Management
333 W. Ocean Blvd., 7th Floor
Long Beach, CA 90802
(562) 570-6663
Erik.Sund@longbeach.gov

In that capacity, Mr. Sund is responsible for implementing all aspects of the DBE program and ensuring that the City of Long Beach complies with all provisions of 49 CFR Part 26. The DBELO has direct, independent access to the City Manager concerning DBE program matters. An organization chart displaying the DBELO's position in the organization is found in **Attachment 2** to this program.

The DBELO is responsible for developing, implementing and monitoring the DBE program, in coordination with other appropriate officials. The DBELO has a staff of three Administrative Analysts to assist in the administration of the program. In addition, an Analyst from each City Department is given the responsibility to work with the DBELO to collect DBE Program information. Further, the DBELO utilizes the Project Manager and Analyst staff of the Public Works Department and/or Airport Engineering Division to implement the Program. The City's Legal Counsel is also available to assist with any legal matters that may arise. The duties and responsibilities of the DBELO include the following:

1. Reviews third party contracts and purchase requisitions for compliance with this program.
2. Works with all departments to set overall annual goals.
3. Ensures that bid notices and requests for proposals are available to DBEs in a timely manner.
4. Advises the City Manager, Airport Advisory Commission and Airport Director on DBE matters and achievement.

Administrative Analysts

5. Gathers and reports statistical data and other information as required by DOT.
6. Analyzes the City of Long Beach's progress toward attainment and identifies ways to improve progress.
7. Participates in pre-bid meetings.
8. Determine contractor compliance with good faith efforts.
9. Provides DBEs with information and assistance in preparing bids, obtaining bonding and insurance.
10. Plans and participates in DBE training seminars.
11. Acts as liaison to the Uniform Certification Process in California.
12. Provides outreach to DBEs and community organizations to advise them of opportunities.

Public Works and/ or Airport Engineering Division Project Managers

13. Identifies contracts and procurements so that DBE goals are included in solicitations (both race-neutral methods and contract specific goals) and monitors results.
14. Collects Bidder Information

Section 26.27 DBE Financial Institutions

It is the policy of the City of Long Beach to investigate the full extent of services offered by financial institutions owned and controlled by socially and economically disadvantaged individuals in the community, to make reasonable efforts to use these institutions, and to encourage prime contractors on DOT-assisted contracts to make use of these institutions. The City surveys financial institutions in Los Angeles and Orange Counties annually to determine if any new minority-owned banks exist.

Minority-owned Bank List – Attachment 12

Section 26.29 Prompt Payment Mechanisms

The City will include the following clause in each DOT-assisted prime contract:

The agency shall hold retainage from the prime contractor and shall make prompt and regular incremental acceptances of portions, as determined by the agency of the contract work and pay retainage to the prime contractor based on these acceptances. The prime contractor or subcontractor shall return all monies withheld in retention from all subcontractors within 30 days after receiving payment for work satisfactorily completed and accepted including incremental acceptances of portions of the contract work by the agency. Any delay or postponement of payment may take place only for good cause and with the agency's prior written approval. Any violation of these provisions shall subject the violating prime contractor to the penalties, sanctions, and other remedies specified in Section 7108.5 of the California Business and Professions Code. This requirement shall not be construed to limit or impair any contractual, administrative, or judicial remedies otherwise available to the contractor or subcontractor in the event of: a dispute involving late payment or nonpayment by the contractor; deficient subcontractor performance and/or noncompliance by a subcontractor. This clause applies to both DBE and non-DBE subcontractors.

Section 26.31 Directory

The City of Long Beach is a non-certifying member of the California Unified Certification Program (CUCP). The CUCP maintains a directory identifying all firms eligible to participate as DBEs. The directory lists the firm's name, address, phone number, date of the most recent certification, and the type of work the firm has been certified to perform as a DBE. The CUCP Directory is updated on a continuous basis as new information is provided. We make the Directory available to our bidders through the following internet links:

http://www.dot.ca.gov/hq/bep/find_certified.htm

http://www.dot.ca.gov/hq/bep/documents/DBE_Instructions_Tutorial.doc

Section 26.33 Over-concentration

The City has not identified that over-concentration exists in the types of work that DBEs perform.

Section 26.35 Business Development Programs

The City has not established a business development program.

Section 26.37 Monitoring and Enforcement Mechanisms

The City will implement the following monitoring and enforcement mechanisms to ensure compliance with 49 CFR Part 26.

1. We will bring to the attention of the Department of Transportation any false, fraudulent, or dishonest conduct in connection with the program, so that DOT can take the steps (e.g., referral to the Department of Justice for criminal prosecution, referral to the DOT Inspector General, action under suspension and debarment or Program Fraud and Civil Penalties rules) provided in 26.107.
2. We will consider similar action under our own legal authorities, including responsibility determinations in future contracts.
3. We will pursue breach of contract action, pursuant to the terms of the contract.

In addition, the DOT has available several enforcement mechanisms that it may apply to firms participating in the DBE Program, including, but not limited to, the following:

1. Suspension or debarment proceedings pursuant to 49 CFR Part 26
2. Enforcement action pursuant to 49 CFR Part 31
3. Prosecution pursuant to 18 USC 1001.

Further, 49 CFR Part 26 describes various actions that may be used for monitoring and enforcement.

Section 26.107 DBE Program Enforcement Mechanisms

(a) If you are a firm that does not meet the eligibility criteria of subpart D of this part and that attempts to participate in a DOT-assisted program as a DBE on the basis of false, fraudulent, or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty, the Department may initiate suspension or debarment proceedings against you under 2 CFR parts 180 and 1200.

(b) If you are a firm that, in order to meet DBE contract goals or other DBE program requirements, uses or attempts to use, on the basis of false, fraudulent or deceitful statements or representations or under circumstances indicating a serious lack of business integrity or honesty, another firm that does not meet the eligibility criteria of subpart D of this part, the Department may initiate suspension or debarment proceedings against you under 2 CFR parts 180 and 1200.

(c) In a suspension or debarment proceeding brought under paragraph (a) or (b) of this section, the concerned operating administration may consider the fact that a purported DBE has been certified by a recipient. Such certification does not preclude the Department from determining that the purported DBE, or another firm that has used or attempted to use it to meet DBE goals, should be suspended or debarred.

(d) The Department may take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, against any participant in the DBE program whose conduct is subject to such action under 49 CFR part 31.

(e) The Department may refer to the Department of Justice, for prosecution under 18 U.S.C. 1001 or other applicable provisions of law, any person who makes a false or fraudulent statement in connection with participation of a DBE in any DOT-assisted program or otherwise violates applicable Federal statutes.

[64 FR 5126, Feb. 2, 1999, as amended at 76 FR 5101, Jan. 28, 2011]

4. The City will also implement a monitoring and enforcement mechanism to ensure that work committed to DBEs at contract award is actually performed by the DBEs. This mechanism will provide for a running tally of actual DBE attainments (e.g., payment actually made to DBE firms), including a means of comparing these attainments to commitments. This will be accomplished by requiring the prime contractor to submit a DBE Payment Report with each pay application, which will allow the Project Manager to analyze the ratio of DBE payments to commitments in connection with the work schedule.
5. In our reports of DBE participation to DOT, we will show both commitments and attainments, as required by the DOT reporting form.

SUBPART C – GOALS, GOOD FAITH EFFORTS, AND COUNTING

Section 26.43 Set-asides or Quotas

The City does not use quotas in any way in the administration of this DBE program.

Section 26.45 Overall Goals

The City will establish a triennial overall DBE goal if we anticipate that we will award prime contracts exceeding \$250,000 in FAA funds in a Federal fiscal year in accordance with the 2-step process as specified in 49 CFR Part 26.45. If the City does not anticipate awarding more than \$250,000 in FAA funds in prime contracts within the Federal fiscal year, we will not develop an overall goal; however the existing DBE program will remain in effect and the City will seek to fulfill the objectives outlined in 49 CFR Part 26.1.

The City will establish overall goals in accordance with the 2-Step process as specified in 49 CFR Part 26.45. The first step is to determine the relative availability of DBEs in the market area, and calculate the “base figure”. The second step is to adjust the “base figure” percentage from Step 1 so that it reflects as accurately as possible the DBE participation the recipient would expect in the absence of discrimination based on past participation, a disparity study and/or information about barriers to entry to past competitiveness of DBEs on projects.

A description of the methodology to calculate the overall goal and the goal calculations can be found in **Attachment 5** to this program.

In accordance with Section 26.45(f) the City will submit its Triennial goal to FAA on August 1 every three (3) years. In establishing the Triennial Goal, the City will consult with minority, women’s and general contractor groups, community organizations, and other officials or organizations (**Attachment 13**) to obtain information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and the City’s efforts to establish a level playing field for the participation of DBEs.

Following this consultation, we will publish a notice of the proposed overall goals, informing the public that the proposed goal and its rationale are available for inspection during normal business hours at City Hall 333 W. Ocean Blvd., 7th Floor, Long Beach, CA 90802 and the City’s website http://www.longbeach.gov/finance/business_relations/dbe.asp for 30 days following the date of the notice, and informing the public that the City and FAA will accept comments on the goals for 45 days from the date of the notice. Notice will be issued in general circulation media and available minority- focus media, trade publications, and websites.

Normally, we will issue this notice by June 1 of each year. The notice will include addresses to which comments may be sent and addresses (including offices and websites) where the proposal may be reviewed. A list of publications used for advertisement can be found in **Attachment 7**.

Our overall goal submission to DOT will include a summary of information and comments received during this public participation process and our responses.

We will begin using our Triennial Goal on October 1 of every third year, unless we have received other instructions from FAA. If we establish a goal on a project basis, we will begin using our goal by the time of the first solicitation for a FAA-assisted contract for the project.

Section 26.51(a-c) Breakout of Estimated Race-Neutral & Race-Conscious Participation

The breakout of estimated race-neutral and race-conscious participation can be found in **Attachment 5** to this program. This section of the program will be updated triennially when the goal calculation is updated.

Section 26.51(d-g) Contract Goals

The City will use contract goals to meet any portion of the overall goal it does not project being able to meet using race-neutral means. Contract goals are established so that, over the period to which the overall goal applies, they will cumulatively result in meeting any portion of our overall goal that is not projected to be met through the use of race-neutral means.

We will establish contract goals only on those FAA-assisted contracts that have subcontracting possibilities. We need not establish a contract goal on every such contract, and the size of contract goals will be adapted to the circumstances of each such contract (e.g., type and location of work, availability of DBEs to perform the particular type of work.)

We will express our contract goals as a percentage of the total amount of DOT funding for each FAA-assisted project.

Section 26.53 Good Faith Efforts Procedures

Demonstration of good faith efforts (26.53(a) & (c))

The obligation of the bidder/offeror is to make good faith efforts. The bidder/offeror can demonstrate that it has done so either by meeting the contract goal or documenting good faith efforts. Examples of good faith efforts are found in Appendix A to Part 26.

The Public Works and/ or Airport Engineering Division Project Manager is responsible for determining whether a bidder/offeror who has not met the contract goal has documented sufficient good faith efforts to be regarded as responsive. **Attachment 6** contains a form included in the bid/proposal documents to be submitted by the Bidder/Offeror which provides details of the DBE Utilization Commitment for the contract. A sample letter of intent that bidders/offerors can use as evidence of commitment from DBE firms is also included.

We will ensure that all information is complete and accurate and adequately documents the Bidder/offeror's good faith efforts before we commit to the performance of the contract by the bidder/offeror.

Information to be submitted (26.53(b))

The City treats bidder/offerors' compliance with good faith efforts' requirements as a matter of responsiveness. Each solicitation for which a contract goal has been established will require all bidders/offerors to submit the following information at the time of bid:

1. The names and addresses of DBE firms that will participate in the contract;
2. A description of the work that each DBE will perform;
3. The dollar amount of the participation of each DBE firm participating;
4. Written and signed documentation of commitment to use a DBE subcontractor whose participation it submits to meet a contract goal;
5. Written and signed confirmation from the DBE that it is participating in the contract as provided in the prime contractors commitment and
6. If the contract goal is not met, evidence of good faith efforts.

Administrative reconsideration (26.53(d))

Within 5 business days of being informed by the City of Long Beach that it is not responsive because it has not documented sufficient good faith efforts, a bidder/offeror may request administrative reconsideration. Bidder/offerors should make this request in writing to the following reconsideration official:

Reggie Harrison, Deputy City Manager
City Manager Department
City of Long Beach
333 W. Ocean Blvd., 13th Floor
Long Beach, CA 90802

The reconsideration official will not have played any role in the original determination that the bidder/offeror did not document sufficient good faith efforts.

As part of this reconsideration, the bidder/offeror will have the opportunity to provide written documentation or argument concerning the issue of whether it met the goal or made adequate good faith efforts to do so. The bidder/offeror will have the opportunity to meet in person with our reconsideration official to discuss the issue of whether it met the goal or made adequate good faith efforts to do. We will send the bidder/offeror a written decision on reconsideration, explaining the basis for finding that the bidder did or did not meet the goal or make adequate good faith efforts to do so. The result of the reconsideration process is not administratively appealable to the Department of Transportation.

Good Faith Efforts when a DBE is replaced on a contract (26.53(f))

The City will require a contractor to make good faith efforts to replace a DBE that is terminated or has otherwise failed to complete its work on a contract with another certified DBE, to the extent needed to meet the contract goal. We will require the prime contractor to notify the Project Manager immediately of the DBE's inability or unwillingness to perform and provide reasonable documentation.

In this situation, we will require the prime contractor to obtain our prior approval of the substitute DBE and to provide copies of new or amended subcontracts, or documentation of good faith efforts.

If the contractor fails or refuses to comply in the time specified, our contracting office will issue an order stopping all or part of payment/work until satisfactory action has been taken. If the contractor still fails to comply, the contracting officer may issue a termination for default proceeding.

Sample Bid Specification:

The requirements of 49 CFR Part 26, Regulations of the U.S. Department of Transportation, apply to this contract. It is the policy of the City of Long Beach to practice nondiscrimination based on race, color, sex, or national origin in the award or performance of this contract. All firms qualifying under this solicitation are encouraged to submit bids/proposals. Award of this contract will be conditioned upon satisfying the requirements of this bid specification. These requirements apply to all bidders/offerors, including those who qualify as a DBE. A DBE contract goal of _____ percent has been established for this contract. The bidder/offeror shall make good faith efforts, as defined in Appendix A, 49 CFR Part 26 (**Attachment 1**), to meet the contract goal for DBE participation in the performance of this contract.

The bidder/offeror will be required to submit the following information: (1) the names and addresses of DBE firms that will participate in the contract; (2) a description of the work that each DBE firm will perform; (3) the dollar amount of the participation of each DBE firm participating; (4) Written documentation of the bidder/offeror's commitment to use a DBE subcontractor whose participation it submits to meet the contract goal; (5) Written confirmation from the DBE that it is

participating in the contract as provided in the commitment made under (4); and (6) if the contract goal is not met, evidence of good faith efforts.

Section 26.55 Counting DBE Participation

The City will count DBE participation toward overall and contract goals as provided in 49 CFR 26.55. We will not count the participation of a DBE subcontract toward a contractor's final compliance with its DBE obligations on a contract until the amount being counted has actually been paid to the DBE.

SUBPART D – CERTIFICATION STANDARDS

Section 26.61 – 26.73 Certification Process

The California Unified Certification Program (CUCP) will use the certification standards of Subpart D of Part 26 to determine the eligibility of firms to participate as DBEs in DOT-assisted contracts. To be certified as a DBE, a firm must meet all certification eligibility standards. The CUCP will make their certification decisions based on the facts as a whole.

For information about the certification process or to apply for certification, firms should contact:

CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)

Office of Business & Economic Opportunity - MS 79

1823 - 14th Street

Sacramento, CA 95814

Phone: (916) 324-1700 or (866) 810-6346

Fax: (916) 324-1862

Email: DBE_Certification@dot.ca.gov

caltrans.ca.gov

CITY OF LOS ANGELES

Office of Contract Compliance

Centralized Certification

1149 S. Broadway Street, Suite 300

Los Angeles, CA 90015

Phone : (213) 847-2684

Fax: (213) 847-2777

bca.lacity.org

LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY (METRO)

Diversity and Economic Opportunity Department

One Gateway Plaza

Los Angeles, CA 90012

Phone: (213) 922-2600

Fax: (213) 922-7660

mta.net

The CUCP DBE Certification Application forms and documentation requirements are found in **Attachment 8** to this program. The application can be downloaded at the following link:

http://www.caltrans.ca.gov/hq/bep/downloads/pdf/DBE_Application.pdf

SUBPART E – CERTIFICATION PROCEDURES

Section 26.81 Unified Certification Programs

The City of Long Beach is the member of a California Unified Certification Program (CUCP) administered by Caltrans. The CUCP will meet all of the requirements of this section. The signature page of the agreement between the City of Long Beach and the CUCP can be found in **Attachment 10**.

Section 26.83 Procedures for Certification Decisions

Re-certifications 26.83(a) & (c)

We will ensure the CUCP reviews the eligibility of DBEs that we certified under former Part 23, to make sure that they will meet the standards of Subpart E of Part 26. We will complete this review no later than three years from the most recent certification date of each firm. Our schedule for this review process will be annual.

For firms that we ensure CUCP have certified or reviewed and found eligible under Part 26, we will again review their eligibility at the time of bid submittal. These reviews will include the following components:

“No Change” Affidavits and Notices of Change (26.83(j))

The CUCP requires all DBEs owners to inform us, in a written affidavit, of any change in its circumstances affecting its ability to meet size, disadvantaged status, ownership or control criteria of 49 CFR Part 26 or of any material changes in the information provided with the City of Long Beach’s application for certification.

The CUCP also requires all DBE owners we have certified to submit every year, on the anniversary date of their certification, a “no change” affidavit meeting the requirements of 26.83(j). The text of this affidavit is the following:

I swear (or affirm) that there have been no changes in the circumstances of [*name of DBE firm*] affecting its ability to meet the size, disadvantaged status, ownership, or control requirements of 49 CFR Part 26. There have been no material changes in the information provided with [*name of DBE firm*]’s application for certification, except for any changes about which you have provided written notice to the City of Long Beach under 26.83(j). [*Name of DBE firm*] meets Small Business Administration (SBA) criteria for being a small business concern and its average annual gross receipts (as defined by SBA rules) over the firm’s previous three fiscal years do not exceed \$20.41 million.

The CUCP requires DBEs to submit with this affidavit documentation of the firm’s size and gross receipts.

The CUCP will notify all currently certified DBE firms of these obligations. This notification will inform DBEs that to submit the “no change” affidavit, their owners must swear or affirm that they meet all regulatory requirements of Part 26, including personal net worth. Likewise, if a firm’s owner knows or should know that he or she, or the firm, fails to meet a Part 26 eligibility requirement (e.g. personal net worth), the obligation to submit a notice of change applies.

Personal Net Worth, (26.67(b))

All disadvantaged owners of applicant firms and currently certified DBE firms whose eligibility under Part 26 is reviewed are required to submit a statement of personal net worth. **Attachment 8** sets forth our personal net worth form and the documentation respondents must submit with it.

Section 26.86 Denials of Initial Requests for Certification

If the CUCP denies a firm's application or decertifies it, it may not reapply until 12 months have passed from their action.

Section 26.87 Removal of a DBE's Eligibility

In the event we propose to remove a DBE's certification, we will follow procedures consistent with 26.87. **Attachment 9** to this program sets forth these procedures in detail. To ensure separation of functions in a de-certification, the CUCP has determined that the Operations Committee will serve as the decision-maker in de-certification proceedings. The CUCP have established an administrative "firewall" to ensure that Operations Committee will not have participated in any way in the de-certification proceeding against the firm (including the decision to initiate such a proceeding).

Section 26.89 Certification Appeals

Any firm or complainant may appeal the CUCP's decision in a certification matter to DOT. Such appeals may be sent to:

US Department of Transportation
Departmental Office of Civil Rights
External Civil Rights Program Division (S-33)
1200 New Jersey Ave., S.E.
Washington, DC 20590
Phone: 202-366-4754
TTY: 202-366-9696
Fax: 202-366-5575

The CUCP will promptly implement any DOT certification appeal decisions affecting the eligibility of DBEs for our DOT-assisted contracting (e.g., certify a firm if DOT has determined that our denial of its application was erroneous).

SUBPART F – COMPLIANCE AND ENFORCEMENT

Section 26.109 Information, Confidentiality, Cooperation

The City will safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information, consistent with Federal, state, and local law. The Freedom of Information Act (FOIA) is a federal law that generally provides that any person has a right, enforceable in court, to obtain access to federal agency records. All federal agencies, including EPA, are required to make requested records available unless the records are protected from disclosure by one of nine FOIA exemptions contained in the statute. The FOIA applies only to federal agencies. It does not apply to records held by Congress, the courts, or by state or local government agencies. Each state has its own public access laws that should be consulted for access to state and local records. The link to the FOIA is found below:

<http://www.state.gov/m/a/ips/>

The Freedom of Information Act (FOIA) is found in Title 5 of the United States Code, Section 552. The FOIA was last amended by the "Openness Promotes Effectiveness in our National Government Act of 2007."

- The Freedom of Information Act (FOIA) generally provides that any person has the right to request access to federal agency records or information except to the extent the records are protected from

disclosure by any of nine exemptions contained in the law or by one of three special law enforcement record exclusions.

- The FOIA applies only to federal agencies and does not create a right of access to records held by Congress, the courts, or by state or local government agencies.
- The FOIA does not require agencies to do research for you, answer written questions, or in any other way create records (such as lists or statistics) in order to respond to a request.

The California Public Records Act is a part of the California Code of Regulations and may be found at the following link:

<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&group=06001-07000&file=6250-6270>

The California Legislature, mindful of the right of individuals to privacy, finds and declares that access to information concerning the conduct of the people's business is a fundamental and necessary right of every person in this state. Public records are open to inspection at all times during the office hours of the state or local agency and every person has a right to inspect any public record. Information that is unrelated to the conduct of the public's business may be exempt. Except with respect to public records exempt from disclosure by express provisions of law, each state or local agency, upon a request for a copy of records that reasonably describes an identifiable record or records, shall make the records promptly available to any person upon payment of fees covering direct costs of duplication, or a statutory fee if applicable. Upon request, an exact copy shall be provided unless impracticable to do so.

Notwithstanding any contrary provisions of state or local law, we will not release personal financial information submitted in response to the personal net worth requirement to a third party (other than DOT) without the written consent of the submitter.

Monitoring Payments to DBEs

The City will require prime contractors to maintain records and documents of payments to DBEs for three years following the performance of the contract. These records will be made available for inspection upon request by any authorized representative of the City of Long Beach or DOT. This reporting requirement also extends to any certified DBE subcontractor.

We will perform interim audits of contract payments to DBEs. The audit will review payments to DBE subcontractors to ensure that the actual amount paid to DBE subcontractors equals or exceeds the dollar amounts stated in the schedule of DBE participation (commitment).

ATTACHMENTS

Attachment 1	Regulations: 49 CFR Part 26 (web link is found below) http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?region=DIV1;type=boolean;c=ecfr;cc=ecfr;sid=63ec8ee17cd685f61a5920f9f979d5e9;q1=dbe;rgn1=Section%20Heading;op2=and;rgn2=Section;op3=and;rgn3=Section;view=text;idno=49;node=49%3A1.0.1.1.20;rgn=div5
Attachment 2	Organizational Chart
Attachment 3	Bidders Information Collection Form
Attachment 4	DBE Directory – http://www.caltrans.ca.gov/hq/bep/find_certified.htm
Attachment 5	Overall Goal Calculation (Include Breakout of Estimated Race-Neutral & Race-Conscious Participation, Public Participation, and Contract Goal)
Attachment 6	Forms 1 & 2 for Demonstration of Good Faith Efforts or Good Faith Effort Plan
Attachment 7	List of Publications
Attachment 8	California Unified Certification Program DBE Application Form http://www.caltrans.ca.gov/hq/bep/downloads/pdf/DBE_Application.pdf
Attachment 9	Procedures for Removal of DBE's Eligibility – CUCP Agreement
Attachment 10	Signed CUCP Agreement Form
Attachment 11	Uniform Report of DBE Awards & Commitment
Attachment 12	List of Minority Owned Banks
Attachment 13	List of Organizations

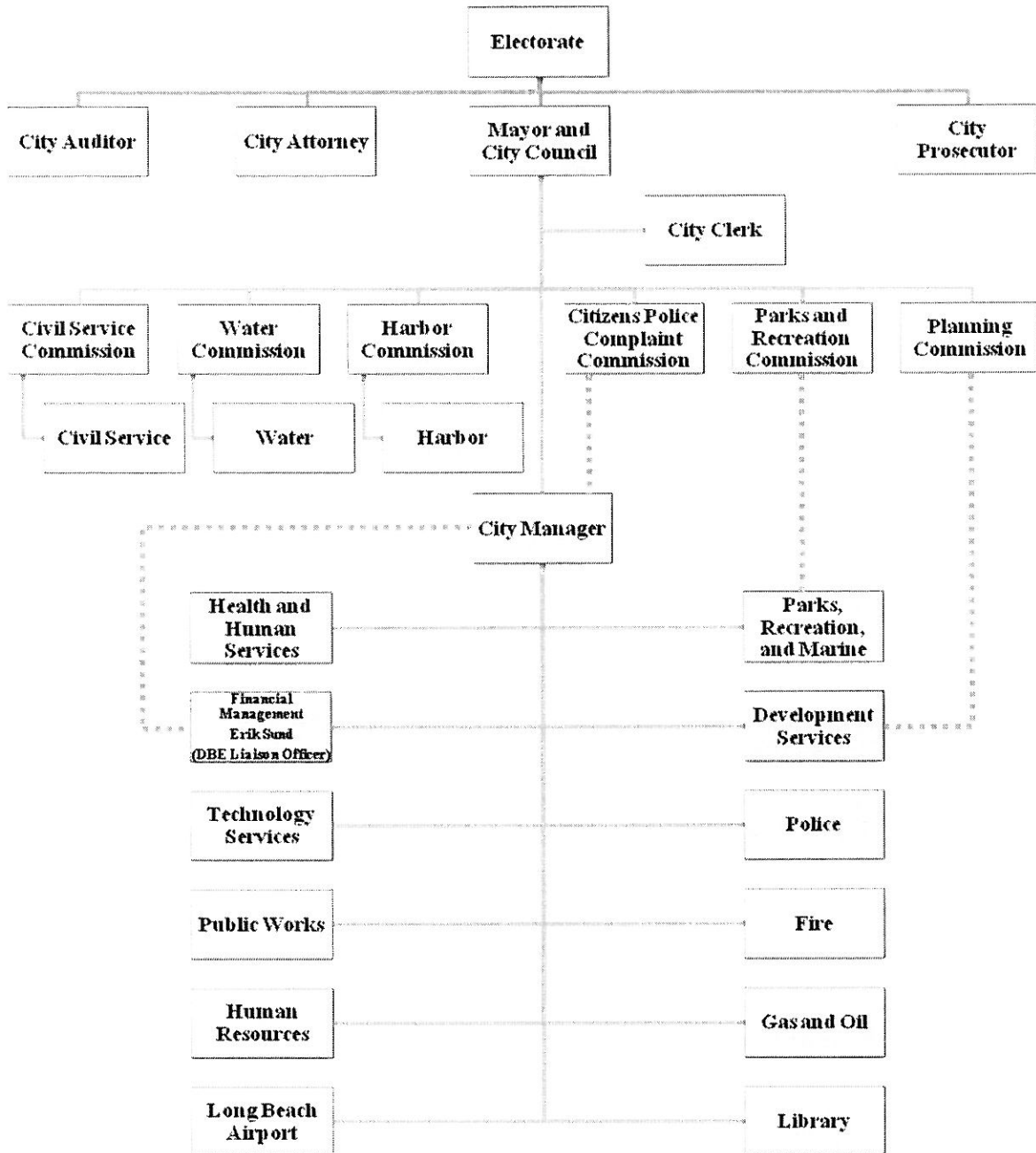
Attachment 1

Regulations: 49 CFR 26

Attachment 2
Organizational Chart

LONG BEACH CITY GOVERNMENT ORGANIZATIONAL CHART

As of September 30, 2011



Attachment 3

Bidder's List Collection Form

Attachment 4

DBE Directory

http://www.dot.ca.gov/hq/bep/find_certified.htm

http://www.dot.ca.gov/hq/bep/documents/DBE_Instructions_Tutorial.doc

Attachment 5

**DBE GOAL METHODOLOGY for FY-2013/2014/2015
LONG BEACH AIRPORT, LONG BEACH, CALIFORNIA**

Section 26.45: Overall DBE 3-Year Goal Methodology

LONG BEACH AIRPORT TRIENNIAL DBE GOAL METHODOLOGY FOR FY 2013 THRU FY 2015

October 1, 2012 though September 30, 2015

INTRODUCTION

In accordance with 49 CFR Part 26.45, the U.S. Department of Transportation (DOT), and the Federal Aviation Administration (FAA), the City of Long Beach Airport Department (LGB), as a local agency receiving federal-aid funds has developed the Triennial DBE Goal for the above referenced period.

FAA-ASSISTED CONTRACTING PROGRAM FOR FISCAL YEARS FY13 THRU FY15

The following table represents the four (4) LGB FAA Federal-aid construction projects anticipated to be awarded in FY13 thru FY15:

FISCAL YEAR	PROJECT	TOTAL ESTIMATED PROJECT COST	ESTIMATED FEDERAL DOLLAR SHARE (90%)
2013	Runway 7L-25R Rehabilitation	\$11,500,000	10,350,000
2014	Taxiway F Rehabilitation	\$7,000,000	\$6,300,000
2014	Air Carrier Ramp Reconstruction (PCC), Phase 4	\$3,000,000	\$2,700,000
2015	Runway 7R-25L	\$13,300,000	\$11,970,000
	TOTAL	\$34,800,000	\$31,320,000

METHODOLOGY

The LGB's methodology is based on the following analysis, and detailed in Exhibits **A through C**.

DATA AND PROCESS UTILIZED IN CALCULATING THE BASE FIGURE

- Review and analysis of the LGB's four (4) FY13-15 FAA-assisted construction projects.
- Analysis of the LGB's FY 2007 and FY 2012 Bidders Lists to determine which counties (Market Area) represent the largest number of bidder office locations (**Exhibit A**). The LGB's market area includes Los Angeles and Orange counties.
- Review of the Scope of Work for each project, and assignment of a NAICS code to each work category including costs and weights (**Exhibit B**).
- Query of the California Unified Certification Program (CUCP) database for all certified DBEs in the relevant NAICS codes, located in the counties of Los Angeles and Orange.
- Query of the U.S. Census Data 2009 County Business Patterns for all businesses in the relevant NAICS codes, located in the counties of Los Angeles and Orange.

- Consideration of other factors to determine if the Triennial DBE Goal base figure should be adjusted.

DETERMINATION OF BASE FIGURE

Step 1: The LGB's FY 2007 thru FY 2012 Bid Tabulation Sheets were reviewed to determine the applicable Market Area. (The list consists of Bidders for three (3) LGB federally-assisted construction contracts. A county was assigned to each bidder's City, to reveal which counties comprised the Market Area. The data revealed that 58% of bidders were located in Los Angeles County, 24% in Orange County, 9.0 % in Riverside County, and 9% in All Others. Therefore, it was determined that the counties of Los Angeles and Orange should be utilized as the Market Area. County Business Pattern 2009 Census Data was utilized to calculate the Base Figure.

For Step 1, please refer to Exhibit A.

Step 2: The scope of work of the LGB's four (4) anticipated Federally-assisted construction projects was analyzed to determine relevant NAICS Codes (NAICS). NAICS were assigned to each work category for each project. The dollar amounts allocated to each NAICS code, for each project, were added, to arrive at a total dollar amount and percentage allocated to each NAICS code, for all projects.

For Step 2, please refer to Exhibit B.

Step 3: The California Unified Certification Program DBE Directory was queried for all DBEs in the applicable NAICS codes located in the Market Area. The query revealed the following results:

NAICS Code	Description	# of DBEs in Los Angeles and Orange County *
237310	Highway, Street & Bridge	22
238210	Electrical Contractors	17
561730	Landscaping	15

* The DBEs in Los Angeles and Orange counties were counted by selecting "Orange", and "Los Angeles", respectively, in the "County" field of the online CUCP DBE query form, assigning counties to the City address of the DBEs listed in the query results, then counting the number of applicable Cities in each county.

Step 4: The U.S. Census Data 2009 County Business Patterns was queried, for all businesses in the applicable NAICS codes located in the counties of Los Angeles and Orange. The query revealed the following results:

NAICS Code	Description	# of Total Businesses in Los Angeles and Orange Counties
237310	Highway, Street & Bridge	171
238210	Electrical Contractors	2519
561730	Landscaping	1769

Step 5: The percentage of DBEs to all businesses, in each NAICS code, was established utilizing the number of DBEs and number of all businesses, in each applicable NAICS code, located in the Market Area.

Step 6: **BASE FIGURE**

The following formula is used to calculate the DBE participation estimate for each NAICS Code. Then each NAICS Code calculation is added together to establish the Base Figure.

$$\text{All DBEs} / \text{All Businesses} \times \text{NAICS Code Weight} = \text{DBE \% for NAICS Code}$$

The results for each NAICS code were added, to yield a DBE Percentage for each project. The Projects Summary adds together results for each project to establish a **Base Figure of 10.99% rounded up to 11.0%**.

For Steps 3 through 6, please refer to Exhibit C.

ADJUSTMENT OF BASE FIGURE (Step 2)

After calculating a base figure of the relative availability of DBEs, evidence was examined to determine what adjustment (if any) was needed to the base figure in order to arrive at the overall goal. The data used to determine the adjustment to the base figure was the median of historical DBE accomplishments which range from 2.83% to 13.48% as indicated in the table below:

Project	Project Completion Date	DBE Goal Attainment
Improvements to Taxiway R-6705	November 2009	13.48%
Improvements to Taxiway R-6713	October 2009	2.83%

Arranging this historical data from high to low, the median does not exist. The mean (average) of the two projects is $(13.84\% + 2.83\% = 16.31\% / 2 = 8.155\%$ rounded up to 8.2%. To arrive at an overall goal, we added our Base Figure (11.0%) to the average of historical DBE goal attainment (8.2%) and then averaged the total $(19.2 / 2)$ arriving at an overall goal of **9.2%**. We feel this adjusted goal figure will accurately reflect DBE participation that can be achieved for the type of project work being awarded during FY13/14/15.

The Caltrans 2012 Disparity Study indicates there are substantial barriers and disparities for minority and women owned business, and certified disadvantaged business enterprises for participation in State of California transportation contracts (including the local market area). The legality of the Caltrans DBE Program was challenged in court by the San Diego Chapter of the Association of General Contractors. In April 2011, the United States District Court ruled that the Caltrans DBE Program is constitutional. However, we don't feel that the overall DBE goal should be adjusted for this factor.

Breakout of Estimated Race Neutral (RN) and Race Conscious (RC) Participation.

26.51(b)(1-9)

The LBG will meet the maximum feasible portion of its overall goal by using RN means of facilitating DBE participation. The LBG will use the following methods to increase DBE participation:

1. Arranging solicitations, times for the presentation of bids, quantities, specifications, and delivery schedules in ways that facilitates DBE, and other small businesses, participation;
2. Carrying out information and communications programs on contracting procedures and specific contract opportunities;
3. Providing services to help DBE's and other small businesses improve long-term development, increase opportunities to participate in a variety of kinds of work, handle increasingly significant projects, and achieve eventual self-sufficiency;
4. Ensuring distribution of DBE directory, through print and electronic means, to the widest feasible universe of potential prime contractors;
5. Assist DBE's and other small businesses, to develop their capability to utilize emerging technology and conduct business through electronic media; and

The LBG estimates that in meeting its overall goal 9.2%, it will obtain 20% from RN participation and 80.0% through RC measures.

This breakout is based on:

- The City does not have a recent history of over-achievement of DBE goals to reference and expects to obtain its DBE participation through the use of DBE contract goals or a conscious effort to obtain DBE participation.
- The findings of the Caltrans 2012 Disparity Study which indicate that significant barriers to DBE participation exist.
- DBE Utilization exceeded the goal for 50% of the LGB construction projects in 2009.

The LBG will adjust the estimated breakout of RN and RC DBE participation as needed to reflect actual DBE participation (see Section 26.51(f)) and track and report RN and RC participation separately. For reporting purposes, RN DBE participation includes, but is not necessarily limited to, the following: DBE participation through a prime contract obtained through customary competitive procurement procedures; DBE participation through a subcontract on a prime contract that does not carry a DBE goal, DBE participation on a prime contract exceeding a contract goal and DBE participation through a subcontract from a prime contractor that did not consider a firm's DBE status in making the award.

DBE 3-Year Overall Goal:

Total dollar amount to be expended on DBEs: \$2,881,440 (\$31,320,000 x .092)

Public Participation

Consultation: Section 26.45(g)(1).

The LGB submits its overall 3-year goal to FAA on August 1 as required. Before establishing the overall goal, the LGB will consult with the organizations in **Attachment 13**, without limiting consultation to these persons or groups, to obtain information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and the LGB's efforts to establish a level playing field for the participation of DBEs. Following the consultation, we will publish a notice in the Long Beach Press Telegram and Small Business Exchange, and the City's DBE website of the proposed overall goal, informing the public that the proposed goal and its rationale are available for inspection at http://www.longbeach.gov/finance/business_relations/dbe.asp for 30 days following the date of the notice, and informing the public that the City of Long Beach will accept comments on the goals for 45 days from the date of the notice. Normally, we will issue this notice by June 1 of

each year. The notice will include an email address to where comments may be sent and a website address where the Goal Methodology may be reviewed.

Our overall goal submission to DOT will include a summary of information and comments received during this public participation process and our responses, if any.

Public Notice

The City of Long Beach Airport Department hereby announces its three-year overall goal for federal fiscal years 2013/2014/2015 of **9.2%** for Disadvantaged Business Enterprise (DBE) participation on airport construction projects. The proposed goal and rationale are available for inspection for 30 days from the date of this publication on the City's website:

http://www.longbeach.gov/finance/business_relations/dbe.asp

Comments on the DBE goal will be accepted for 45 days from the date of this publication and can be sent to admin@perceptivelcp.com.

Contract Goals

The LGB will use contract goals to meet any portion of the overall goal that it does not project being able to meet using RN means. Contract goals are established so that, over the period to which the overall goal applies, they will cumulatively result in meeting any portion of the City's overall goal that is not projected to be met through the use of RN means.

The LGB will establish contract goals only on those DOT-assisted contracts that have subcontracting possibilities. It will not establish a contract goal on every such contract, and the size of the contract goals will be adapted to the circumstances of each such contract (e.g., type and location of work and availability of DBE's to perform the particular type of work).

The LGB will express contract goals as a percentage of the Federal share of a DOT-assisted contract.

ANALYSIS OF BIDDERS LISTS FOR THE LONG BEACH AIRPORT

EXHIBIT A

Fiscal Year	Total # of Bidders	Los Angeles County	Orange County	Riverside County	San Bernardino County	Ventura County	San Diego, Imperial & Yolo Counties	Central & Northern CA	Out-of-State
FY 2007/2008	7	4	3	0	0	0	0	0	0
FY 2008/2009	8	4	1	0	1	0	0	1	1
FY 2009/2010	13	9	3	1	0	0	0	0	0
FY 2011/2012	5	2	1	2	0	0	0	0	0
Total # of Bidders	33	19	8	3	1	0	0	1	1
% of Total Bidders	100.0%	57.58%	24.24%	9.09%	3.03%	0.00%	0.00%	3.03%	3.03%

Note: The above analysis was prepared utilizing bidders/planholders lists representing the eight (8) FAA projects advertised by the City of Long Beach in FY 2008 thru FY 2012.

PROJECT DETAIL, WORK ALLOCATION, AND ASSIGNMENT OF NAICS CODES

Project #1: Runway 7L-25R

Project Description		
NAICS Code and Description		Project Construction Cost: \$11,500,000
NAICS	Description	% of Work Allocated to NAICS Code \$ Amount of Work Allocated to NAICS Code
237310	Highway, Street & Bridge Contractors	85.00% \$9,775,000
238210	Electrical Contractors	14.00% \$1,610,000
561730	Landscaping Services	1.00% \$115,000
Total		100.00% \$11,500,000

Project #2: Runway 7R-25L

Project Description		
NAICS Code and Description		Project Construction Cost: \$13,300,000
NAICS	Description	% of Work Allocated to NAICS Code \$ Amount of Work Allocated to NAICS Code
237310	Highway, Street & Bridge Contractors	85.00% \$11,305,000
238210	Electrical Contractors	14.00% \$1,862,000
561730	Landscaping Services	1.00% \$133,000
Total		100.00% \$13,300,000

Project #3: Taxiway F Rehabilitation

Project Description		
NAICS Code and Description		Project Construction Cost: \$7,000,000
NAICS	Description	% of Work Allocated to NAICS Code \$ Amount of Work Allocated to NAICS Code
237310	Highway, Street & Bridge Contractors	85.00% \$5,950,000
238210	Electrical Contractors	14.00% \$980,000
561730	Landscaping Services	1.00% \$70,000
Total		100.00% \$7,000,000

PROJECT DETAIL, WORK ALLOCATION, AND ASSIGNMENT OF NAICS CODES

Project #4: Air Carrier Ramp Reconstruction

Project Description			
NAICS Code and Description		Project Construction Cost: \$3,000,000	
		% of Work Allocated to NAICS Code	\$ Amount of Work Allocated to NAICS Code
NAICS	Description		
237310	Highway, Street & Bridge Contractors	80.00%	\$2,400,000
238210	Electrical Contractors	20.00%	\$600,000
	Total	100.00%	\$3,000,000

Projects Summary			
NAICS Code and Description		Total Project Construction Cost: \$30,300,000	
		% of Work Allocated to NAICS Code	\$ Amount of Work Allocated to NAICS Code
NAICS	Description		
237310	Highway, Street & Bridge Contractors	84.57%	\$29,430,000
238210	Electrical Contractors	14.52%	\$5,052,000
561730	Landscaping Services	0.91%	\$318,000
	Total	100.00%	\$34,800,000

TRIENNIAL DBE GOAL BASE FIGURE CALCULATION WORKSHEET

EXHIBIT C

Proj #1 - Runway 7L-25R

DBE PERCENTAGE

	<u>#237310</u>	<u>#238210</u>	<u>#561730</u>
Formula	(B/A)*C	(B/A)*C	(B/A)*C
	10.936%	0.094%	0.008%
			11.04%

Proj #1 - Runway 7L-25R

NAICS Codes

	<u>#237310</u>	<u>#238210</u>	<u>#561730</u>
A = All Businesses	171	2519	1769
B = All DBEs	22	17	15
C = Weight	85.00%	14.00%	1.00%

TRIENNIAL DBE GOAL BASE FIGURE CALCULATION WORKSHEET

EXHIBIT C

Proj #2 - Runway 7R-25L

DBE PERCENTAGE

	<u>#237310</u>	<u>#238210</u>	<u>#561730</u>	
Formula	(B/A)*C	(B/A)*C	(B/A)*C	
	10.936%	0.094%	0.008%	11.04%

Proj #2 - Runway 7R-25L

NAICS Codes

	<u>#237310</u>	<u>#238210</u>	<u>#561730</u>	
A = All Businesses	171	2519	1769	
B = All DBEs	22	17	15	
C = Weight	85.00%	14.00%	1.00%	

TRIENNIAL DBE GOAL BASE FIGURE CALCULATION WORKSHEET

EXHIBIT C

Project #3: Taxiway F Rehabilitation

DBE PERCENTAGE

	<u>#237310</u>	<u>#238210</u>	<u>#561730</u>	
Formula	(B/A)*C	(B/A)*C	(B/A)*C	
	10.936%	0.094%	0.015%	11.04%

Project #3: Taxiway F Rehabilitation

NAICS Codes

	<u>#237310</u>	<u>#238210</u>	<u>#561730</u>	
A = All Businesses	171	2519	1769	
B = All DBEs	22	17	26	
C = Weight	85.00%	14.00%	1.00%	

TRIENNIAL DBE GOAL BASE FIGURE CALCULATION WORKSHEET

EXHIBIT C

Project #4: Air Carrier Ramp Reconstruction

DBE PERCENTAGE

	<u>#237310</u>	<u>#238210</u>	
Formula	(B/A)*C	(B/A)*C	
	10.292%	0.135%	10.43%

Project #4: Air Carrier Ramp Reconstruction

NAICS Codes

	<u>#237310</u>	<u>#238210</u>	
A = All Businesses	171	2519	
B = All DBEs	22	17	
C = Weight	80.00%	20.00%	

TRIENNIAL DBE GOAL BASE FIGURE CALCULATION WORKSHEET

EXHIBIT C

Projects Summary				
BASE FIGURE				
	<u>#237310</u>	<u>#238210</u>	<u>#561730</u>	
Formula	(B/A)*C	(B/A)*C	(B/A)*C	
	10.880%	0.098%	0.013%	10.99%
Projects Summary				
NAICS Codes				
	<u>#237310</u>	<u>#238210</u>	<u>#561730</u>	
A = All Businesses	171	2519	1769	
B = All DBEs	22	17	26	
C = Weight	84.57%	14.52%	0.91%	

Attachment 6

Forms 1 & 2 for Demonstration of Good Faith Efforts

FORM 1: DISADVANTAGED BUSINESS ENTERPRISE (DBE) UTILIZATION

The undersigned bidder/offeror has satisfied the requirements of the bid specification in the following manner (please check the appropriate space):

_____ The bidder/offeror is committed to a minimum of _____ % DBE utilization on this contract.

_____ The bidder/offeror (if unable to meet the DBE goal of _____%) is committed to a minimum of _____% DBE utilization on this contract and will submit documentation demonstrating good faith efforts.

Name of bidder/offeror's firm: _____

State Registration No. _____

By _____
(Signature) Title

FORM 2: LETTER OF INTENT

Name of bidder/offeror's firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Name of DBE firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____

Description of work to be performed by DBE firm:

The bidder/offeror is committed to utilizing the above-named DBE firm for the work described above. The estimated dollar value of this work is \$ _____.

Affirmation

The above-named DBE firm affirms that it will perform the portion of the contract for the estimated dollar value as stated above.

By _____
(Signature) Title

If the bidder/offeror does not receive award of the prime contract, any and all representations in this Letter of Intent and Affirmation shall be null and void.

[Submit this page for each DBE subcontractor.]

Attachment 7

List of Publications

Gazette Newspapers
(562) 433-2000
(562) 434-8826 fax
5225 E. Second Street
Long Beach, CA 90803
<http://www.gazettes.com/advertising>

The Long Beach Post
4720 E. 2nd Street, Suite 7
Long Beach, CA 90803
(562) 248-6314
<http://lbpost.com/Contact-Us>

Long Beach Press Telegram
300 Oceangate
Long Beach, CA 90844
(562) 435-1161
<http://www.presstelegram.com/advertisinginfo>

The Signal Tribune
939 E. 27th Street
Signal Hill, CA 90755
(562) 595-7900
<http://www.signaltribunenewspaper.com/advertising>

CSULB – Daily 49ER
1250 Bellflower Blvd
SPPA 010B
Long Beach, CA 90840-4601
www.daily49er.com
Phone: (562) 985-8001
Fax: (562) 985-1740

CSUDH – Dateline Dominguez
1000 E. Victoria Street
Carson, CA 90747
www.csudhnews.com
(310) 243-2001

CSU Fullerton – The Daily Titan
College Park Building, CSU Fullerton
2600 E. Nutwood Ave., Suite 670
www.dailytitan.com
Fullerton, CA 92831-3110
Phone: (657) 278-4415
Fax: (657) 278-2702

Attachment 8

Certification Application Form

http://www.caltrans.ca.gov/hq/bep/downloads/pdf/DBE_Application.pdf

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)

DISADVANTAGED BUSINESS ENTERPRISE (DBE)

CERTIFICATION APPLICATION



UNIFIED CERTIFICATION PROGRAM

To access the statewide CUCP DBE database, please log onto:

CALIFORNIAUCP.COM

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Dear Business Owner:

Thank you for your interest in participating in the California Unified Certification Program (CUCP) for Disadvantaged Business Enterprises (DBEs). As mandated by the United States Department of Transportation (U.S. DOT) in the DBE Program, Final Rule 49 Code of Federal Regulations (CFR), Part 26, all U.S. DOT recipients of federal financial assistance must participate in a statewide UCP by March 2002. The UCP is a “One-Stop Shopping” certification procedure that eliminates the need for DBE firms to obtain certifications from multiple agencies within the State.

The CUCP is charged with the responsibility of certifying firms and compiling and maintaining the Database of certified DBEs for U.S. DOT grantees in California, pursuant to 49 CFR Part 26. The Database is intended to expand the use of DBE firms by maintaining complete and current information on those businesses and the products and services they can provide to all grantees of California.

Please complete the attached application and supplemental questionnaire if you wish to be considered for DBE certification and your business meets the following general guidelines:

- a) The firm must be at least 51% owned by one or more socially and economically disadvantaged individuals.
- b) The firm must be an independent business, and one or more of the socially and economically disadvantaged owners must control its management and daily operations.
- c) Only existing for-profit “Small Business Concerns,” as defined by the Small Business Act and Small Business Administration (SBA) regulations may be certified. DBE applicants are first subject to the applicable small business size standards of the SBA. Second, the average annual gross receipts for the firm (including its affiliates) over the previous three fiscal years must not exceed U.S. DOT’s cap of \$22.41 million.
- d) The Personal Net Worth (PNW) of each socially and economically disadvantaged owner must not exceed \$1.32 million, excluding the individual’s ownership interest in the applicant firm and the equity in his/her primary residence.

For firms applying for Airport Concession DBE certification: Please refer to the Airport Concessions Disadvantaged Business Enterprise (ACDBE) Certification Application for applicable average annual gross receipts and personal net worth dollar limitations.

Socially and economically disadvantaged individual means any individual who is a citizen of the United States (or lawfully admitted permanent resident) and who is a member of the following groups: Black American, Hispanic American, Native American, Asian-Pacific American, Subcontinent Asian American, or Women,

or

Any individual found to be socially and economically disadvantaged on a case-by-case basis by a certifying agency pursuant to the standards of the U.S. DOT 49 CFR Part 26.

In order to avoid unnecessary delays, please complete all portions of the application and supplemental questionnaire, placing "N/A" next to items that are not applicable. Include all copies of documents requested on the application, and have the *Affidavit of Certification* notarized. Additional documentation may be requested if it is considered necessary to make a certification determination. Incomplete applications/supplemental questionnaires or applications/supplemental questionnaires without all the required documents will not be evaluated until such documents are submitted. We recommend keeping a copy of all submitted documents for your records.

REMEMBER: It is no longer necessary to apply at more than one agency. If your firm meets the criteria for certification, it will be entered into the Database of DBEs for all U.S. DOT grantees in California. Only firms currently certified as eligible DBEs may participate in the DBE programs of U.S. DOT grantees of California. If you wish to be considered for Airport Concession DBE certification only, you will need to complete the Airport Concession DBE Certification Application Package, which can be accessed at www.CaliforniaUCP.com.

The CUCP has established two Regional DBE Certification Clusters throughout the State to effectively facilitate statewide DBE certification activities. Please forward your completed certification packet to **one** of the agencies serving the county where your firm has its principal place of business. (See enclosed Roster of Certifying Agencies.)

For Out-of-State Firms: The CUCP will not process a new application for DBE certification from a firm having its principal place of business in another state unless the firm has already been certified in that state. If your firm is located outside of California and is certified as a DBE in your home state, please forward your completed certification packet, along with a copy of your DBE certificate, to the California Department of Transportation. (See enclosed Roster of Certifying Agencies.)

CALIFORNIA UNIFIED CERTIFICATION PROGRAM

**INSTRUCTIONS FOR COMPLETING THE DISADVANTAGED BUSINESS ENTERPRISE (DBE)
PROGRAM UNIFORM CERTIFICATION APPLICATION**

NOTE: If you require additional space for any question in this application, please attach additional sheets or copies as needed, taking care to indicate on each attached sheet/copy the section and number of this application to which it refers.

Section 1: CERTIFICATION INFORMATION

A. Prior/Other Certifications

Check the appropriate box indicating for which program your firm is currently certified. If you are already certified as a DBE, indicate in the appropriate box the name of the certifying agency that has previously certified your firm, and also indicate whether your firm has undergone an onsite visit. If your firm has already undergone an onsite visit/review, indicate the most recent date of that review and the state UCP that conducted the review.

B. Prior/Other Applications and Privileges

Indicate whether your firm or any of the persons listed has ever withdrawn an application for a DBE program or whether any have ever been denied certification, decertified, debarred, suspended, or had bidding privileges denied or restricted by any state or local agency or Federal entity. If your answer is yes, indicate the date of such action, identify the name of the agency, and explain fully the nature of the action in the space provided.

Section 2: GENERAL INFORMATION

A. Contact Information

- (1) State the name and title of the person who will serve as your firm's primary contact under this application.
- (2) State the legal name of your firm, as indicated in your firm's Articles of Incorporation or charter.
- (3) State the primary phone number of your firm.
- (4) State a secondary phone number, if any.
- (5) State your firm's fax number, if any.
- (6) State your firm's or your contact person's email address.
- (7) State your firm's website address, if any.
- (8) State the street address of your firm (i.e. the physical location of its offices -- not a post office box address).
- (9) State the mailing address of your firm, if it is different from your firm's street address.

B. Business Profile

- (1) In the box provided, briefly describe the primary business and professional activities in which your firm engages.
- (2) State the Federal Tax ID number of your firm as provided on your firm's filed tax returns, if you have one. This could also be the Social Security number of the owner of your firm.
- (3) State the date on which your firm was officially established, as stated in your firm's Articles of Incorporation or charter.
- (4) State the date on which you and/or each other owner took ownership of the firm.
- (5) Check the appropriate box that describes the manner in which you and each other owner acquired ownership of your firm. If you checked "Other," explain in the space provided.

- (6) Check the appropriate box that indicates whether your firm is "for profit."

NOTE: If you checked "No," then you do NOT qualify for the DBE program and therefore do not need to complete the rest of this application. The DBE program requires all participating firms be for-profit enterprises.

- (7) Check the appropriate box that describes the legal form of ownership of your firm, as indicated in your firm's Articles of Incorporation. If you checked "Other," briefly explain in the space provided.
- (8) Check the appropriate box that indicates whether your firm has ever existed under different ownership, a different type of ownership, or a different name. If you checked "Yes," specify which and briefly explain the circumstances in the space provided.
- (9) Indicate in the spaces provided how many employees your firm has, specifying the number of employees who work on a full-time and part-time basis.
- (10) Specify the total gross receipts of your firm for each of the past three years, as declared in your firm's filed tax returns.

C. Relationships with Other Businesses

- (1) Check the appropriate box that indicates whether your firm is co-located at any of its business locations, or whether your firm shares a telephone number(s), a post office box, any office space, a yard, warehouse, other facilities, any equipment, or any office staff with any other business, organization, or entity of any kind. If you answered "Yes," then specify the name of the other firm(s) and briefly explain the nature of the shared facilities or other items in the space provided.
- (2) Check the appropriate box that indicates whether at present, or at any time in the past:
 - (a) Your firm has been a subsidiary of any other firm;
 - (b) Your firm consisted of a partnership in which one or more of the partners are other firms;
 - (c) Your firm has owned any percentage of any other firm; and
 - (d) Your firm has had any subsidiaries of its own.
- (3) Check the appropriate box that indicates whether any other firm has ever had an ownership interest in your firm.
- (4) If you answered "Yes" to any of the questions in (2)(a)-(d) or (3), identify the name, address and type of business for each.

D. Immediate Family Member Businesses

Check the appropriate box that indicates whether any of your immediate family members own or manage

another company. An “immediate family member” is any person who is your father, mother, husband, wife, son, daughter, brother, sister, grandmother, grandfather, grandson, granddaughter, mother-in-law, or father-in-law. If you answered “Yes,” provide the name of each relative, your relationship to them, the name of the company they own or manage, the type of business, and whether they own or manage the company.

Section 3: OWNERSHIP

Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below (if your firm has more than one owner, provide completed copies of this section for each additional owner):

A. Background Information

- (1) Give the name of the owner.
- (2) State his/her title or position within your firm.
- (3) Give his/her home phone number.
- (4) State his/her home (street) address.
- (5) Check the appropriate box that indicates this owner’s gender.
- (6) Check the appropriate box that indicates this owner’s ethnicity (check all that apply). If you checked “Other,” specify this owner’s ethnic group/identity not otherwise listed.
- (7) Check the appropriate box to indicate whether this owner is a U.S. citizen.
- (8) If this owner is not a U.S. citizen, check the appropriate box that indicates whether this owner is a lawfully admitted permanent resident. If this owner is neither a U.S. citizen nor a lawfully admitted permanent resident of the U.S., then this owner is NOT eligible for certification as a DBE owner. This, however, does not necessarily disqualify your firm altogether from the DBE program if another owner is a U.S. citizen or lawfully admitted permanent resident and meets the program’s other qualifying requirements.

B. Ownership Interest

- (1) State the number of years during which this owner has been an owner of your firm.
- (2) Indicate the dollar value of this owner’s initial investment to acquire an ownership interest in your firm, broken down by cash, real estate, equipment, and/or other investment.
- (3) State the percentage of total ownership control of your firm that this owner possesses.
- (4) State the familial relationship of this owner to each other owner of your firm.
- (5) Indicate the number, percentage of the total, class, date acquired, and method by which this owner acquired his/her shares of stock in your firm.
- (6) Check the appropriate box that indicates whether this owner performs a management or supervisory function for any other business. If you checked “Yes,” state the name of the other business and this owner’s title or function held in that business.

- (7) Check the appropriate box that indicates whether this owner owns or works for any other firm(s) that has any relationship with your firm. If you checked “Yes,” identify the name of the other business and this owner’s title or function held in that business. Briefly describe the nature of the business relationship in the space provided.

C. Disadvantaged Status

NOTE: You only need to complete this section for each owner that is applying for DBE qualification (i.e. for each owner who is claiming to be “socially and economically disadvantaged” and whose ownership interest is to be counted toward the control and 51% ownership requirements of the DBE program)

- (1) Indicate in the space provided the total Personal Net Worth (PNW) of each owner who is applying for DBE qualification. Use the PNW calculator form at the end of this application to compute each owner’s PNW.
- (2) Check the appropriate box that indicates whether any trust has ever been created for the benefit of this disadvantaged owner. If you answered “Yes,” briefly explain the nature, history, purpose, and current value of the trust(s).

Section 4: CONTROL

A. Identify your firm’s Officers and Board of Directors:

- (1) In the space provided, state the name, title, date of appointment, ethnicity, and gender of each officer of your firm.
- (2) In the space provided, state the name, title, date of appointment, ethnicity, and gender of each individual serving on your firm’s Board of Directors.
- (3) Check the appropriate box that indicates whether any of your firm’s officers and/or directors listed above perform a management or supervisory function for any other business. If you answered “Yes,” identify each person by name, his/her title, the name of the other business in which s/he is involved, and his/her function performed in that other business.
- (4) Check the appropriate box that indicates whether any of your firm’s officers and/or directors listed above own or work for any other firm(s) that has a relationship with your firm. If you answered “Yes,” identify the name of the firm, the officer or director, and the nature of his/her business relationship with that other firm.

B. Identify your firm’s management personnel (by name, title, ethnicity, and gender) who control your firm in the following areas:

- (1) Making of financial decisions on your firm’s behalf, including the acquisition of lines of credit, surety bonds, supplies, etc.;
- (2) Estimating and bidding, including calculation of cost estimates, bid preparation and submission;
- (3) Negotiating and contract execution, including participation in any of your firm’s negotiations and executing contracts on your firm’s behalf;

- (4) Hiring and/or firing of management personnel, including interviewing and conducting performance evaluations;
- (5) Field/Production operations supervision, including site supervision, scheduling, project management services, etc.;
- (6) Office management;
- (7) Marketing and sales;
- (8) Purchasing of major equipment;
- (9) Signing company checks (for any purpose); and
- (10) Conducting any other financial transactions on your firm's behalf not otherwise listed.
- (11) Check the appropriate box that indicates whether any of the persons listed in (1) through (10) above perform a management or supervisory function for any other business. If you answered "Yes," identify each person by name, his/her title, the name of the other business in which s/he is involved, and his/her function performed in that other business.
- (12) Check the appropriate box that indicates whether any of the persons listed in (1) through (10) above own or work for any other firm(s) that has a relationship with your firm. If you answered "Yes," identify the name of the firm, the name of the person, and the nature of his/her business relationship with that other firm.

C. Indicate your firm's inventory in the following categories:

(1) Equipment

State the type, make and model, and current dollar value of each piece of equipment held and/or used by your firm. Indicate whether each piece is either owned or leased by your firm.

(2) Vehicles

State the type, make and model, and current dollar value of each motor vehicle held and/or used by your firm. Indicate whether each vehicle is either owned or leased by your firm.

(3) Office Space

State the street address of each office space held and/or used by your firm. Indicate whether your firm owns or leases the office space and the current dollar value of that property or its lease.

(4) Storage Space

State the street address of each storage space held and/or used by your firm. Indicate whether your firm owns or leases the storage space and the current dollar value of that property or its lease.

D. Does your firm rely on any other firm for management functions or employee payroll?

Check the appropriate box that indicates whether your firm relies on any other firm for management functions or for employee payroll. If you answered "Yes," briefly explain the nature of that reliance and the extent to which the other firm carries out such functions.

E. Financial Information

(1) Banking Information

- (a) State the name of your firm's bank.
- (b) Give the main phone number of your firm's bank branch.

- (c) Give the address of your firm's bank branch.
- (2) Bonding Information**
 - (a) State your firm's Binder Number.
 - (b) State the name of your firm's bond agent and/or broker.
 - (c) Give your agent's/broker's phone number.
 - (d) Give your agent's/broker's address.
 - (e) State your firm's bonding limits (in dollars), specifying both the Aggregate and Project Limits.

F. Identify all sources, amounts, and purposes of money loaned to your firm, including the names of persons or firms securing the loan, if other than the listed owner:

State the name and address of each source, the original dollar amount and the current balance of each loan, and the purpose for which each loan was made to your firm.

G. List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years:

Indicate in the spaces provided, the type of contribution or asset that was transferred, its current dollar value, the person or firm from whom it was transferred, the person or firm to whom it was transferred, the relationship between the two persons and/or firms, and the date of the transfer.

H. List current licenses/permits held by any owner or employee of your firm.

List the name of each person in your firm who holds a professional license or permit, the type of permit or license, the expiration date of the permit or license, and the license/permit number and issuing State of the license or permit.

I. List the three largest contracts completed by your firm in the past three years, if any.

List the name of each owner or contractor for each contract, the name and location of the projects under each contract, the type of work performed on each contract, and the dollar value of each contract.

J. List the three largest active jobs on which your firm is currently working.

For each active job listed, state the name of the prime contractor and the project number, the location, the type of work performed, the project start date, the anticipated completion date, and the dollar value of the contract.

AFFIDAVIT & SIGNATURE

Carefully read the attached affidavit in its entirety. Fill in the required information for each blank space, and sign and date the affidavit in the presence of a Notary Public, who must then notarize the form.

**DISADVANTAGED BUSINESS ENTERPRISE PROGRAM
49 C.F.R. PART 26**

UNIFORM CERTIFICATION APPLICATION

ROADMAP FOR APPLICANTS

① Should I apply?

- Is your firm at least 51%-owned by a socially and economically disadvantaged individual(s) who also controls the firm?
- Is the disadvantaged owner a U.S. citizen or lawfully admitted permanent resident of the U.S.?
- Does the disadvantaged owner's Personal Net Worth **not** exceed \$1.32 million (excluding the individual's ownership interest in the applicant firm and the equity in his/her primary residence)?
- Is your firm a small business that meets the Small Business Administration's (SBA's) size standard and does not exceed \$22.41 million in gross annual receipts?
- Is your firm organized as a for-profit business?

⇒ If you answered "Yes" to all of the questions above, you may be eligible to participate in the U.S. DOT DBE program.

② Be sure to attach all of the required documents listed in the Documents Check List at the end of this form with your completed application.

③ Where can I find more information?

- U.S. DOT – <http://osdbuweb.dot.gov/DBEProgram/index.cfm> (this site provides useful links to the rules and regulations governing the DBE program, questions and answers, and other pertinent information)
- SBA – <http://www.sba.gov/services/contractingopportunities/sizestandardtopics/index.html> (provides listing of NAICS codes and Table of size standards)
- 49 CFR Part 26 (the rules and regulations governing the DBE program)

Updated 5/11/2011

Under Sec. 26.107 of 49 CFR Part 26, dated February 2, 1999, if at any time, the Department or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the Department may initiate suspension or debarment proceedings against the person or firm under 49 CFR Part 29, take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice for criminal prosecution under 18 U.S.C. 1001, which prohibits false statements in Federal programs.

Section 1: CERTIFICATION INFORMATION

A. Prior/Other Certifications

Is your firm currently certified for any of the following programs? (If Yes, check appropriate box(es))	<input type="checkbox"/> DBE	Name of certifying agency:
		Has your firm's state UCP conducted an on-site visit? <input type="checkbox"/> Yes, on ____ / ____ / ____ State: _____ <input type="checkbox"/> No

B. Prior/Other Applications and Privileges

Has your firm (under any name) or any of its owners, Board of Directors, officers or management personnel, ever withdrawn an application for any of the programs listed above, or ever been denied certification, decertified, or debarred or suspended or otherwise had bidding privileges denied or restricted by any state or local agency, or Federal entity? <input type="checkbox"/> Yes, on ____ / ____ / ____ <input type="checkbox"/> No If Yes, identify State and name of state, local, or Federal agency and explain the nature of the action:
--

Section 2: GENERAL INFORMATION

A. Contact Information

(1) Contact person and Title:		(2) Legal name of firm:	
(3) Phone #:	(4) Other Phone #:	(5) Fax #:	
(6) E-mail:		(7) Website (if have one):	
(8) Street address of firm (No P.O. Box):		City:	County/Parish: State: Zip:
(9) Mailing address of firm (if different):		City:	County/Parish: State: Zip:

B. Business Profile

(1) Describe the primary activities of your firm:		(2) Federal Tax ID (if any):	
(3) This firm was established on ____ / ____ / ____		(4) I/We have owned this firm since: ____ / ____ / ____	
(5) Method of acquisition (check all that apply): <input type="checkbox"/> Started new business <input type="checkbox"/> Bought existing business <input type="checkbox"/> Inherited business <input type="checkbox"/> Secured concession <input type="checkbox"/> Merger or consolidation <input type="checkbox"/> Other (explain) _____			
(6) Is your firm "for profit"? <input type="checkbox"/> Yes <input type="checkbox"/> No		⊗ STOP! If your firm is NOT for-profit, then you do NOT qualify for this program and do NOT need to fill out this application.	

(7) Type of firm (check all that apply):

☐ Sole Proprietorship

☐ Partnership

☐ Corporation

☐ Limited Liability Partnership

☐ Limited Liability Corporation

☐ Joint Venture

☐ Other, Describe: _____

(8) Has your firm ever existed under different ownership, a different type of ownership, or a different name?

☐ Yes ☐ No

If Yes, explain: _____

(9) Number of employees: Full-time _____ Part-time _____ Total _____

(10) Specify the gross receipts of the firm for the last 3 years: Year _____ Total receipts \$ _____

Year _____ Total receipts \$ _____

Year _____ Total receipts \$ _____

C. Relationships with Other Businesses

(1) Is your firm co-located at any of its business locations, or does it share a telephone number, P.O. Box, office space, yard, warehouse, facilities, equipment, or office staff, with any other business, organization, or entity?

☐ Yes ☐ No

If Yes, identify: Other Firm's name: _____

Explain nature of shared facilities: _____

(2) At present, or at any time in the past, has your firm:	(a) been a subsidiary of any other firm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	(b) consisted of a partnership in which one or more of the partners are other firms?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	(c) owned any percentage of any other firm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	(d) had any subsidiaries?	<input type="checkbox"/> Yes <input type="checkbox"/> No

(3) Has any other firm had an ownership interest in your firm at present or at any time in the past? ☐ Yes ☐ No

(4) If you answered "Yes" to any of the questions in (2)(a)-(d) and/or (3), identify the following for each (attach extra sheets, if needed):

	Name	Address	Type of Business
1.			
2.			
3.			

D. Immediate Family Member Businesses

Do any of your immediate family members own or manage another company? ☐ Yes ☐ No

If Yes, then list (attach extra sheets, if needed):

	Name	Relationship	Company	Type of Business	Own or Manage?
1.					
2.					

Section 3: OWNERSHIP

Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below *(If more than one owner, attach separate sheets for each additional owner):*

A. Background Information

(1) Name:	(2) Title:	(3) Home Phone #:
(4) Home Address <i>(street and number)</i> : _____ City: _____ State: _____ Zip: _____		
(5) Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female	(6) Ethnic group membership <i>(Check all that apply)</i> :	
(7) U.S. Citizen: <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Black <input type="checkbox"/> Hispanic <input type="checkbox"/> Native American <input type="checkbox"/> Asian Pacific <input type="checkbox"/> Subcontinent Asian <input type="checkbox"/> Other <i>(specify)</i> _____	
(8) Lawfully Admitted Permanent Resident: <input type="checkbox"/> Yes <input type="checkbox"/> No		

B. Ownership Interest

(1) Number of years as owner:	(2) Initial investment to	<u>Type</u>	<u>Dollar Value</u>
(3) Percentage owned:	acquire ownership	Cash	\$
(4) Familial relationship to other owners:	interest in firm:	Real Estate	\$
		Equipment	\$
		Other	\$
(5) Shares of Stock: <u>Number</u> <u>Percentage</u> <u>Class</u> <u>Date acquired</u> <u>Method Acquired</u>			
(6) Does this owner perform a management or supervisory function for any other business? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If Yes, identify: Name of Business: _____ Function/Title: _____			
(7) Does this owner own or work for any other firm(s) that has a relationship with this firm <i>(e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)</i> ? <input type="checkbox"/> Yes <input type="checkbox"/> No			
If Yes, identify: Name of Business: _____ Function/Title: _____			
Nature of Business Relationship: _____			

C. Disadvantaged Status – NOTE: Complete this section only for each owner applying for DBE qualification (i.e. for each owner claiming to be socially and economically disadvantaged)

(1) What is the Personal Net Worth (PNW) of the owner(s) applying for DBE qualification? <i>(Use and attach the Personal Financial Statement form at the end of this application; attach additional sheets if more than one owner is applying)</i>
(2) Has any trust been created for the benefit of this disadvantaged owner(s)? <input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, explain <i>(attach additional sheets if needed)</i> :

Section 4: CONTROL

A. Identify your firm's Officers & Board of Directors *(If additional space is required, attach a separate sheet):*

	Name	Title	Date Appointed	Ethnicity	Gender
(1) Officers of the Company	(a)				
	(b)				
	(c)				
	(d)				
	(e)				
(2) Board of Directors	(a)				
	(b)				
	(c)				
	(d)				
	(e)				

(3) Do any of the persons listed in (1) and/or (2) above perform a management or supervisory function for any other business? ☐ Yes ☐ No

If Yes, identify for each: Person: _____ Title: _____
 Business: _____ Function: _____

(4) Do any of the persons listed (1) and/or (2) above own or work for any other firm(s) that has a relationship with this firm (*e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.*)? ☐ Yes ☐ No

If Yes, identify for each: Firm Name: _____ Person: _____
 Nature of Business Relationship: _____

B. Identify your firm's management personnel who control your firm in the following areas *(If more than two persons, attach a separate sheet):*

	Name	Title	Ethnicity	Gender
(1) Financial Decisions <i>(responsibility for acquisition of lines of credit, surety bonding, supplies, etc.)</i>	a.			
	b.			
(2) Estimating and bidding	a.			
	b.			
(3) Negotiating and Contract Execution	a.			
	b.			
(4) Hiring/firing of management personnel	a.			
	b.			
(5) Field/Production Operations Supervisor	a.			
	b.			
(6) Office management	a.			
	b.			
(7) Marketing/Sales	a.			
	b.			

(8) Purchasing of major equipment	a.			
	b.			
(9) Authorized to Sign Company Checks (for any purpose)	a.			
	b.			
(10) Authorized to make Financial Transactions	a.			
	b.			
(11) Do any of the persons listed in (1) through (10) above perform a management or supervisory function for any other business? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, identify for each: Person: _____ Title: _____ Business: _____ Function: _____				
(12) Do any of the persons listed in (1) through (10) above own or work for any other firm(s) that has a relationship with this firm (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)? <input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, identify for each: Firm Name: _____ Person: _____ Nature of Business Relationship: _____				

C. Indicate your firm's inventory in the following categories (attach additional sheets if needed):

(1) Equipment

Type of Equipment	Make/Model	Current Value	Owned or Leased?
(a)			
(b)			
(c)			

(2) Vehicles

Type of Vehicle	Make/Model	Current Value	Owned or Leased?
(a)			
(b)			
(c)			

(3) Office Space

Street Address	Owned or Leased?	Current Value of Property or Lease
(a)		
(b)		

(4) Storage Space

Street Address	Owned or Leased?	Current Value of Property or Lease
(a)		
(b)		

D. Does your firm rely on any other firm for management functions or employee payroll? ☐ Yes ☐ No

If Yes, explain:

E. Financial Information**(1) Banking Information:**

(a) Name of bank: _____ (b) Phone No: () _____
 (c) Address of bank: _____ City: _____ State: _____ Zip: _____

(2) Bonding Information: If you have bonding capacity, identify: (a) Binder No: _____

(b) Name of agent/broker _____ (c) Phone No: () _____
 (d) Address of agent/broker: _____ City: _____ State: _____ Zip: _____
 (e) Bonding limit: Aggregate limit \$ _____ Project limit \$ _____

F. Identify all sources, amounts, and purposes of money loaned to your firm, including the names of any persons or firms securing the loan, if other than the listed owner:

Name of Source	Address of Source	Name of Person Securing the Loan	Original Amount	Current Balance	Purpose of Loan
1.					
2.					
3.					

G. List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years (attach additional sheets if needed):

Contribution/Asset	Dollar Value	From Transferred	Whom	To Transferred	Whom	Relationship	Date of Transfer
1.							
2.							
3.							

H. List current licenses/permits held by any owner and/or employee of your firm (e.g. contractor, engineer, architect, etc.)(attach additional sheets if needed):

Name of License/Permit Holder	Type of License/Permit	Expiration Date	License Number and State
1.			
2.			
3.			

I. List the three largest contracts completed by your firm in the past three years, if any:

Name of Owner/Contractor	Name/Location of Project	Type of Work Performed	Dollar Value of Contract
1.			
2.			
3.			

J. List the three largest active jobs on which your firm is currently working:

Name of Prime Contractor and Project Number	Location of Project	Type of Work	Project Start Date	Anticipated Completion Date	Dollar Value of Contract
1.					
2.					
3.					

DBE UNIFORM CERTIFICATION APPLICATION SUPPORTING DOCUMENTS CHECKLIST
In order to complete your application for DBE certification, you must attach copies of all of the following documents as they apply to you and your firm.

All Applicants

- ☐ Work experience resumes (that include places of ownership/employment with corresponding dates), for all owners and officers of your firm
- ☐ Personal Financial Statement (form available with this application)
- ☐ Personal tax returns for the past three years, if applicable, for each owner claiming disadvantaged status
- ☐ Your firm's tax returns (gross receipts) and all related schedules for the past three years
- ☐ Documented proof of contributions used to acquire ownership for each owner (*e.g. both sides of cancelled checks*)
- ☐ Your firm's signed loan agreements, security agreements, and bonding forms
- ☐ Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
- ☐ List of equipment leased and signed lease agreements
- ☐ List of construction equipment and/or vehicles owned and titles/proof of ownership
- ☐ Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years
- ☐ Year-end balance sheets and income statements for the past three years (*or life of firm, if less than three years*); a new business must provide a current balance sheet
- ☐ All relevant licenses, license renewal forms, permits, and haul authority forms
- ☐ DBE certifications, denials, and/or decertifications, if applicable
- ☐ Bank authorization and signatory cards
- ☐ Schedule of salaries (or other compensation or remuneration) paid to all officers, managers, owners, and/or directors of the firm
- ☐ Trust agreements held by any owner claiming disadvantaged status, if any

Partnership or Joint Venture

- ☐ Original and any amended Partnership or Joint Venture Agreements

Corporation or LLC

- ☐ Official Articles of Incorporation (*signed by the state official*)
- ☐ Both sides of all corporate stock certificates and your firm's stock transfer ledger
- ☐ Shareholders' Agreement
- ☐ Minutes of all stockholders and board of directors meetings
- ☐ Corporate by-laws and any amendments
- ☐ Corporate bank resolution and bank signature cards
- ☐ Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

Trucking Company

- ☐ Documented proof of ownership of the company
- ☐ Insurance agreements for each truck owned or operated by your firm
- ☐ Title(s) and registration certificate(s) for each truck owned or operated by your firm
- ☐ List of U.S. DOT numbers for each truck owned or operated by your firm

Regular Dealer

- ☐ Proof of warehouse ownership or lease
- ☐ List of product lines carried
- ☐ List of distribution equipment owned and/or leased

NOTE: The specific state UCP to which you are applying may have additional required documents that you must also supply with your application. Contact the appropriate certifying agency to which you are applying to find out if more is required. (See Supplemental Document Checklist)

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Supplemental Document Checklist

Firm Name: _____

In order to complete your application for DBE certification, you must also attach copies of all of the following documents:

- ☐ Documentation of Group Membership. Please comply with one of the following: (1) For each owner seeking social disadvantaged status on the basis of Ethnic membership, please provide a document (e.g., birth certificate, U.S. Passport, Green Card, parents' birth certificate, etc.) evidencing Ethnic heritage or similar document evidencing Ethnic community affiliation. (2) For each owner seeking social disadvantaged status on the basis of Gender, please provide a document evidencing gender (e.g., birth certificate, driver's license, etc.). (3) For each owner seeking an individual showing of social disadvantage, please provide documents you deem appropriate for consideration.
- ☐ Documentation of U.S. citizenship or lawful permanent residence, e.g., U.S. birth certificate, Green Card, etc.

Supplemental Questionnaire

1. Is the firm's principal place of business in California? Yes _____ No _____

If no, please include a copy of the firm's DBE certificate issued in its home state. (The CUCP will not process a new application for DBE certification from a firm having its principal place of business in another state unless the firm has already been certified in that state.)

2. Is the firm authorized to do business in the State of California? Yes _____ No _____

3. List all office locations in California: _____

4. Has the firm ever done business with any U.S. DOT Grantees of California? Yes _____ No _____

If yes, please indicate the agency name(s) and latest year(s):

Agency	Latest Year

Agency	Latest Year

5. Is there an upcoming project in which the firm is interested and therefore, would need to be certified prior to a specific date in order to be counted toward DBE participation? Yes _____ No _____

If yes, please provide the following information:

Agency letting contract: _____

Contract Number
and Name: _____

Bid Opening date or
Request for Proposal due date: _____

6. Indicate areas where you prefer to do your work.

- | | | | | | |
|--|---|---------------------------------------|---|---|--------------------------------------|
| <input type="checkbox"/> 01 Alameda | <input type="checkbox"/> 11 Glenn | <input type="checkbox"/> 21 Marin | <input type="checkbox"/> 31 Placer | <input type="checkbox"/> 41 San Mateo | <input type="checkbox"/> 51 Sutter |
| <input type="checkbox"/> 02 Alpine | <input type="checkbox"/> 12 Humboldt | <input type="checkbox"/> 22 Mariposa | <input type="checkbox"/> 32 Plumas | <input type="checkbox"/> 42 Santa Barbara | <input type="checkbox"/> 52 Tehama |
| <input type="checkbox"/> 03 Amador | <input type="checkbox"/> 13 Imperial | <input type="checkbox"/> 23 Mendocino | <input type="checkbox"/> 33 Riverside | <input type="checkbox"/> 43 Santa Clara | <input type="checkbox"/> 53 Trinity |
| <input type="checkbox"/> 04 Butte | <input type="checkbox"/> 14 Inyo | <input type="checkbox"/> 24 Merced | <input type="checkbox"/> 34 Sacramento | <input type="checkbox"/> 44 Santa Cruz | <input type="checkbox"/> 54 Tulare |
| <input type="checkbox"/> 05 Calaveras | <input type="checkbox"/> 15 Kern | <input type="checkbox"/> 25 Modoc | <input type="checkbox"/> 35 San Benito | <input type="checkbox"/> 45 Shasta | <input type="checkbox"/> 55 Tuolumne |
| <input type="checkbox"/> 06 Colusa | <input type="checkbox"/> 16 Kings | <input type="checkbox"/> 26 Mono | <input type="checkbox"/> 36 San Bernardino | <input type="checkbox"/> 46 Sierra | <input type="checkbox"/> 56 Ventura |
| <input type="checkbox"/> 07 Contra Costa | <input type="checkbox"/> 17 Lake | <input type="checkbox"/> 27 Monterey | <input type="checkbox"/> 37 San Diego | <input type="checkbox"/> 47 Siskiyou | <input type="checkbox"/> 57 Yolo |
| <input type="checkbox"/> 08 Del Norte | <input type="checkbox"/> 18 Lassen | <input type="checkbox"/> 28 Napa | <input type="checkbox"/> 38 San Francisco | <input type="checkbox"/> 48 Solano | <input type="checkbox"/> 58 Yuba |
| <input type="checkbox"/> 09 El Dorado | <input type="checkbox"/> 19 Los Angeles | <input type="checkbox"/> 29 Nevada | <input type="checkbox"/> 39 San Joaquin | <input type="checkbox"/> 49 Sonoma | |
| <input type="checkbox"/> 10 Fresno | <input type="checkbox"/> 20 Madera | <input type="checkbox"/> 30 Orange | <input type="checkbox"/> 40 San Luis Obispo | <input type="checkbox"/> 50 Stanislaus | |

AFFIDAVIT OF CERTIFICATION

This form must be signed and notarized for each owner upon which disadvantaged status is relied.

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PENALTIES AVAILABLE PURSUANT TO APPLICABLE FEDERAL AND STATE LAW.

I _____ (full name printed), swear or affirm under penalty of law that I am _____ (title) of applicant firm _____ (firm name) and that I have read and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm as well as the ownership, control, and affiliations thereof.

I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application, and I authorize such agency to contact any entity named in the application, and the named firm's bonding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm's eligibility.

I agree to submit to government audit, examination and review of books, records, documents and files, in whatever form they exist, of the named firm and its affiliates, inspection of its places(s) of business and equipment, and to permit interviews of its principals, agents, and employees. I understand that refusal to permit such inquiries shall be grounds for denial of certification.

If awarded a contract or subcontract, I agree to promptly and directly provide the prime contractor, if any, and the Department, recipient agency, or federal funding agency on an ongoing basis, current, complete and accurate information regarding (1) work performed on the project; (2) payments; and (3) proposed changes, if any, to the foregoing arrangements.

I agree to provide written notice to the recipient agency or Unified Certification Program (UCP) of any material change in the information contained in the original application within 30 calendar days of such change (e.g., ownership, address, telephone number, etc.).

I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

I certify that I am a socially and economically disadvantaged individual who is an owner of the above-referenced firm seeking certification as a Disadvantaged Business Enterprise (DBE). In support of my application, I certify that I am a member of one or more of the following groups, and that I have held myself out as a member of the group(s) (check all that apply):

Female	_____	Black American	_____
Hispanic American	_____	Asian-Pacific American	_____
Native American	_____	Subcontinent Asian American	_____
Other (specify)	_____		

I certify that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified above, without regard to my individual qualities.

I further certify that my personal net worth does not exceed \$1,320,000, and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I declare under penalty of perjury that the information provided in this application and supporting documents is true and correct.

Executed on _____ (Date)

Signature _____
(DBE Applicant)

NOTARY CERTIFICATE



**DISADVANTAGED BUSINESS ENTERPRISE (DBE) and
AIRPORT CONCESSION DISADVANTAGED BUSINESS ENTERPRISE (ACDBE)**

PERSONAL FINANCIAL STATEMENT

As of _____, _____

Complete this form for each individual whose ownership and control are relied upon for DBE or ACDBE certification.

Name(s): _____ Are these figures for a married couple? Yes ___ No ___

Residence Address: _____ Residence Phone: _____

City, State, & Zip Code: _____

Business Name of Applicant: _____ Business Phone: _____

ASSETS	(Omit Cents)	LIABILITIES	(Omit Cents)
Cash on hand & in Banks.....\$ _____		Accounts Payable \$ _____	
Savings/Other Cash Accounts.....\$ _____		Notes Payable to Banks and Others \$ _____	
IRA or Other Retirement Accounts.....\$ _____		(Describe in Section 2)	
Accounts & Notes Receivable.....\$ _____		Installment Account (Auto) \$ _____	
Life Insurance-Cash Surrender Value Only\$ _____		Installment Account (Other) \$ _____	
(Complete Section 7)		Loan on Life Insurance.....\$ _____	
Stocks and Bonds.....\$ _____		Mortgages on Real Estate\$ _____	
Real Estate.....\$ _____		(Describe in Section 3)	
(Describe in Section 3)		Unpaid Taxes.....\$ _____	
Automobile-Present Value.....\$ _____		(Describe in Section 5)	
Other Personal Property\$ _____		Other Liabilities.....\$ _____	
(Describe in Section 4)		(Describe in Section 6)	
Other Assets.....\$ _____		Total\$ _____	
(Describe in Section 4)		Net Worth\$ _____	
Total\$ _____		(Subtract total Liabilities from Total Assets)	

Contingent Liabilities (will not be used in determining net worth)

As Endorser or Co-Maker.....\$ _____

Legal Claims & Judgments.....\$ _____

Provision for Federal Income Tax.....\$ _____

Other Special Debt.....\$ _____

Section 1. Separate Property (for married applicants only) Describe all separate property held by you or your spouse, their current values, and why they are separate.

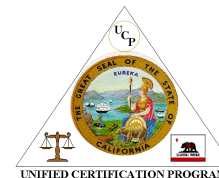
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Section 2. Notes Payable to Banks and Others. (Use attachments if necessary. Each attachment must be identified as a part of this statement and signed.)

Name and Address of Note holder(s)	Original Balance	Current Balance	Payment Amount	Frequency (monthly, etc.)	How Secured or Endorsed Type of Collateral

Section 3. Real Estate Owned. (List each parcel separately. Identify primary Residence. Use attachment if necessary. Each attachment must be identified as a part of this statement and signed.)			
	Property A	Property B	Property C
Type of Property (e.g. residential, condo, timeshare, commercial, etc.)			
Address (include street, city and state)			
Date Purchased			
Original Cost			
Present Market Value			
Name & Address of Mortgage Holder			
Mortgage Balance			
Amount of Payment per Month/Year			
Status of Mortgage			
Section 4. Other Personal Property and Other Assets. (Describe, and if any is pledged as security, state name and address of lien holder, amount of lien, terms of payment and if delinquent, describe delinquency)			
Section 5. Unpaid Taxes. (Describe in detail, as to type, to whom payable, when due, amount, and to what property, if any, a tax lien attaches.)			
Section 6. Other Liabilities. (Describe in detail.)			
Section 7. Life Insurance Held. (Give face amount and cash surrender value of policies - name of insurance company and beneficiaries)			
I certify the above and the statements contained in the attachments are true and accurate as of the stated date(s). These statements are made for the purpose of becoming eligible for the Disadvantaged Business Enterprise or Airport Concession Disadvantaged Business Enterprise Programs. I authorize the CUCP to make inquiries as necessary to verify the accuracy of the statements made and to determine my creditworthiness.			
Signature:		Date:	
Signature:		Date:	

Instructions to Assist in Completing the Personal Financial Statement for the California Unified Certification Program



Please do not make adjustments to your figures pursuant to U.S. Department of Transportation (U.S. DOT) regulations 49 CFR Part 26 and Part 23. The agency that you apply to will use the information provided on your completed Personal Financial Statement to determine your Personal Net Worth according to 49 CFR Part 26 and Part 23. An individual's Personal Net Worth, according to 49 CFR Part 26 and Part 23 includes only his or her own share of assets held separately, jointly, or as community property with the individual's spouse and excludes the following:

- Individual's ownership interest in the applicant firm;
- Individual's equity in his or her primary residence;
- Tax and interest penalties that would accrue if retirement savings or investments (e.g., pension plans, Individual Retirement Accounts, 401(k) accounts, etc.) were distributed at the present time.

If your Personal Net Worth, according to 49 CFR Part 26 and Part 23, exceeds the \$1.32 million cap and you, individually, or you and other individuals are the majority owners of an applicant firm, the firm is not eligible for DBE/ACDBE certification. If the Personal Net Worth of the majority owner(s) exceeds the \$1.32 million cap at any time after your firm is certified, the firm is no longer eligible for certification. Should that occur, it is your responsibility to contact your certifying agency in writing to advise that your firm no longer qualifies.

General Instructions

- You must fill out all line items on the Personal Financial Statement to the best of your ability.
- If necessary, use additional sheet(s) of paper to report all information and details.
- If you have any questions about completing this form, please contact one of the certifying agencies on the Roster of Certifying Agencies.

Specific Instructions

DATE AND CONTACT INFORMATION

Be sure to include the date in the upper right corner of the first page and your contact information. Indicate whether the figures reported are for a married couple.

ASSETS

All assets must be reported at their current fair market values as of the date of your statement. Assessor's assessed value for real estate, for example, is not acceptable. Assets held in a trust generally should be included.

Cash on hand & in Banks: Enter the total amount of cash on-hand and in bank accounts other than savings.

Savings Accounts: Enter the total amount in all savings accounts.

IRA or other Retirement Account: Enter the total present value of all IRAs and other retirement accounts, including any deferred compensation and pension plans.

Accounts & Notes Receivable: Enter the total value of all monies owed to you personally, if any. This should include shareholder loans to the applicant firm, if any.

Life Insurance-Cash Surrender Value Only: Enter the value of any life insurance policies. This amount should be cash surrender value only, not the amount a beneficiary would receive upon your death, also known as face value. A complete description is required in Section 7.

Stocks and Bonds: Enter the current market value of your stocks and bonds.

Real Estate: Enter the current fair market value of all real estate owned. A complete listing and description of all real estate owned is required in Section 3.

Automobile-Present Value: Enter the current fair market value of all automobiles owned.

Other Personal Property: Enter the current fair market value of all other personal property owned, but not included in the previous entries. A complete description of these assets is required in Section 4.

Other Assets: Enter the current fair market value of all other assets owned, but not included in the previous entries. A complete description of these assets is required in Section 4.

LIABILITIES

Accounts Payable: Enter the total value of all unpaid accounts payable that is your responsibility.

Notes Payable to Bank and Others: Enter the total amount due on all notes payable to banks and others. This should not, however, include any mortgage balances. A complete description of all notes payable to banks and others is required in Section 2.

Installment Account (Auto): Enter amount of the present balance of the debt that you owe for auto installment account.

Installment Account (Other): Enter amount of the present balance of the debt that you owe for other installment account.

Loans on Life Insurance: Enter the total value of all loans due on life insurance policies.

Mortgages on Real Estate: Enter the total balance on all mortgages payable on real estate. A complete breakdown of all mortgages on real estate is required in Section 3.

Unpaid Taxes: Enter the total amount of all taxes that are currently due, but are unpaid. Contingent tax liabilities or anticipated taxes for current year should not be included. A complete description is required in Section 5.

Other Liabilities: Enter the total value due on all other liabilities not classified in the previous entries. A complete description is required in Section 6.

Net Worth: To compute Net Worth, add all liabilities and put that figure in the Total Liabilities line. Then subtract Total Liabilities from Total Assets to get your Net Worth. To check your figures, add Total Liabilities and Net Worth and the sum must equal Total Assets. If your figures do not match, your form will be returned to you to correct and complete again.

CONTINGENT LIABILITIES

Contingent liabilities are liabilities that belong to you only if an event(s) should occur. For example, if you have co-signed on a relative's loan, but you are not responsible for the debt until your relative defaults, that is a contingent liability. Contingent liabilities do not count toward your net worth until they become actual liabilities.

As Endorser or Co-Maker: Enter the total potential liabilities due as a result of being a co-signer for a loan or other commitments.

Legal Claims and Judgments: Enter the potential liabilities due as a result of legal claims from judgments, lawsuits, etc.

Provisions for Federal Income Tax: Enter the total amount of all federal taxes for which you are potentially liable due to an anticipated gain on the pending sale of an asset or other circumstances, such as pending disputes or litigation which could possibly result in a personal tax liability.

Other Special Debt: Enter the total amount due on all remaining potential debts not accounted for.

SECTION 1. SEPARATE PROPERTY

Identify all property that is not held jointly or as community property, include values, ownership, and a brief explanation why the property is not held jointly.

SECTION 2. NOTES PAYABLE TO BANKS AND OTHERS

Enter the name and address of note holder(s), original balance, current balance, payment amount, frequency, and how secured for each note payable as entered in the "Liabilities" column. Do not include loans for your business or mortgages for your properties.

SECTION 3. REAL ESTATE OWNED

Starting with your primary residence (be sure to identify it as your primary residence), enter the type of property, address, date of purchase, original cost, present fair market value, name and address of mortgage holder, mortgage account number, mortgage balance, amount of payment, and status of mortgage for all real estate held. Please ensure that this section contains all real estate owned, including rental properties, vacation properties, commercial properties, etc.

Total "Present Market Value" amounts should correspond with the "Real Estate" amount listed in the "Assets" column. Additionally, total "Mortgage Balance" amounts should correspond with the "Mortgages on Real Estate" amount listed in the "Liabilities" column. Attach additional sheets if needed.

SECTION 4. OTHER PERSONAL PROPERTY AND OTHER ASSETS

Itemize and describe in detail other personal property and other assets owned as listed in the "Assets" column. For other personal property, include boats, trailers, jewelry, furniture, household goods, collectibles, clothing, etc. For other assets, include equity interest in other businesses, trusts, investments, etc.

SECTION 5. UNPAID TAXES

Describe in detail as to the type, to whom payable, when due, amount, and to what property, if any, the tax lien attaches. Please refer to the unpaid taxes listed in the "Liabilities" column. If none, state "NONE." This section should not include the contingent tax liabilities or anticipated taxes owed for the current year. For any unusually large amounts, you must include documentation, such as tax liens, to support the amounts.

SECTION 6. OTHER LIABILITIES

Describe in detail any other liabilities as referenced by the value listed in the "Liabilities" column. If none, state "NONE." For any unusually large amounts, you must include documentation, such as bills, to support the amounts.

SECTION 7. LIFE INSURANCE HELD

Describe all life insurance policies held. Please be sure to include the face amount of the policies, name of insurance company and beneficiaries and cash surrender values of the policies.

EXECUTION OF STATEMENT

Be sure to sign and date at the end of the statement.

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



NAICS Codes

The California Unified Certification Program adopted the 2002 North American Industry Classification System (NAICS), an updated federal classification system, on October 27, 2003. Please indicate below areas of expertise that you perform in order of importance. Enclosed is a partial list of NAICS codes for your convenience.

For a full list of NAICS codes and assistance in locating appropriate NAICS codes and determining if your firm meets U.S. Small Business Administration (SBA) and U.S. DOT size standards, a search tool is available on the SBA web site at: <http://www.sba.gov/size/index.html>. DBE applicants are first subject to the applicable small business size standards of the Small Business Administration (SBA). Second, the average annual gross receipts for the firm (including its affiliates) over the previous three fiscal years must not exceed the U.S. Department of Transportation's cap of \$22.41 million, as amended pursuant to SAFETEA-LU. Please note that size standards are subject to change at any time by the SBA. If you do not have Internet access or need assistance, please contact one of the certifying agencies on the enclosed Roster.

NAICS Code

Description of Work/Service

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

CALIFORNIA UNIFIED CERTIFICATION PROGRAM
List of NAICS Codes (partial)

110000	<i>Agriculture, Forestry, Fishing and Hunting</i>
111000	Crop Production
112000	Animal Production
113000	Forestry and Logging
114000	Fishing, Hunting and Trapping
115000	Support Activities for Agriculture and Forestry
210000	<i>Mining</i>
211000	Oil and Gas Extraction
212000	Mining (except Oil and Gas)
213000	Support Activities for Mining
220000	<i>Utilities</i>
221110	Hydroelectric, Fossil Fuel, Nuclear and Other Electric Power Generation
221120	Electric Power Transmission, Control and Distribution
221310	Water Supply and Irrigation Systems
230000	<i>Construction*</i>
236000	<i>Construction of Buildings</i>
236115	New Single-Family Housing Construction (except Operative Builders)
236116	New Multifamily Housing Construction (except Operative Builders)
236117	New Housing Operative Builders
236118	Residential Remodelers
236210	Industrial Building Construction
236220	Commercial and Institutional Building Construction
237000	<i>Heavy and Civil Engineering Construction</i>
237110	Water and Sewer Line and Related Structures Construction
237120	Oil and Gas Pipeline and Related Structures Construction
237130	Power and Communication Line and Related Structures Construction
237210	Land Subdivision
237310	Highway, Street, and Bridge Construction
237990	Other Heavy and Civil Engineering Construction
237990	Dredging and Surface Cleanup Activities
238000	<i>Specialty Trade Contractors</i>
238110	Poured Concrete Foundation and Structure Contractors
238120	Structural Steel and Precast Concrete Contractors
238130	Framing Contractors
238140	Masonry Contractors
238150	Glass and Glazing Contractors
238160	Roofing Contractors
238170	Siding Contractors
238190	Other Foundation, Structure, and Building Exterior Contractors
238210	Electrical Contractors
238220	Plumbing, Heating, and Air-Conditioning Contractors
238290	Other Building Equipment Contractors
238310	Drywall and Insulation Contractors
238320	Painting and Wall Covering Contractors
238330	Flooring Contractors
238340	Tile and Terrazzo Contractors
238350	Finish Carpentry Contractors
238390	Other Building Finishing Contractors
238910	Site Preparation Contractors
238990	All Other Specialty Trade Contractors
238990	Building and Property Specialty Trade Services

310000 - 339999	<i>Manufacturing</i>
311000	<i>Food Manufacturing</i>
312000	<i>Beverage and Tobacco Product Manufacturing</i>
313000	<i>Textile Mills</i>
314000	<i>Textile Product Mills</i>
315000	<i>Apparel Manufacturing</i>
315211	Men's and Boys' Cut and Sew Apparel Contractors
315212	Women's, Girls', and Infants' Cut and Sew Apparel Contractors
315220	Men's and Boys' Cut and Sew Apparel Manufacturing
315230	Women's and Girls' Cut and Sew Apparel Manufacturing
315299	All Other Cut and Sew Apparel Manufacturing
315999	Other Apparel Accessories and Other Apparel Manufacturing
316000	<i>Leather and Allied Product Manufacturing</i>
316211	Rubber and Plastics Footwear Manufacturing
316213	Men's Footwear (except Athletic) Manufacturing
316214	Women's Footwear (except Athletic) Manufacturing
316219	Other Footwear Manufacturing
321000	<i>Wood Product Manufacturing</i>
322000	<i>Paper Manufacturing</i>
323000	<i>Printing and Related Support Activities</i>
323110	Commercial Lithographic Printing
323111	Commercial Gravure Printing
323112	Commercial Flexographic Printing
323113	Commercial Screen Printing
323114	Quick Printing
323115	Digital Printing
323116	Manifold Business Forms Printing
323117	Books Printing
323118	Blankbook, Loose-leaf Binder and Device Manufacturing
323119	Other Commercial Printing
323121	Tradebinding and Related Work
323122	Prepress Services
324000	<i>Petroleum and Coal Products Manufacturing</i>
324121	Asphalt Paving Mixture and Block Manufacturing
324122	Asphalt Shingle and Coating Materials Manufacturing
325000	<i>Chemical Manufacturing</i>
326000	<i>Plastics and Rubber Products Manufacturing</i>
326211	Tire Manufacturing (except Retreading)
326212	Tire Retreading
326220	Rubber and Plastics Hoses and Belting Manufacturing
326291	Rubber Product Manufacturing for Mechanical Use
326299	All Other Rubber Product Manufacturing
327000	<i>Nonmetallic Mineral Product Manufacturing</i>
331000	<i>Primary Metal Manufacturing</i>
332000	<i>Fabricated Metal Product Manufacturing</i>
332116	Metal Stamping
332322	Sheet Metal Work Manufacturing
332323	Ornamental and Architectural Metal Work Manufacturing
332710	Machine Shops
332721	Precision Turned Product Manufacturing
332996	Fabricated Pipe and Pipe Fitting Manufacturing
333000	<i>Machinery Manufacturing</i>
333120	Construction Machinery Manufacturing
333311	Automatic Vending Machine Manufacturing
333313	Office Machinery Manufacturing

*Note: evidence of State or other licensing is required in order to be classified in this industry, if applicable.

(Rev. 8/06)

California Unified Certification Program
List of NAICS Codes (partial)

333414	Heating Equipment (except Warm Air Furnaces) Manufacturing
333415	Air-Conditioning and Warm Air Heating Equipment and Commercial and Industrial Refrigeration Equipment Manufacturing
333514	Special Die and Tool, Die Set, Jig and Fixture Manufacturing
333613	Mechanical Power Transmission Equipment Manufacturing
333618	Other Engine Equipment Manufacturing
333911	Pump and Pumping Equipment Manufacturing
333921	Elevator and Moving Stairway Manufacturing
333922	Conveyor and Conveying Equipment Manufacturing
333923	Overhead Traveling Crane, Hoist and Monorail System Manufacturing
333924	Industrial Truck, Tractor, Trailer and Stacker Machinery Manufacturing
334000	<i>Computer and Electronic Product Manufacturing</i>
334111	Electronic Computer Manufacturing
334112	Computer Storage Device Manufacturing
334113	Computer Terminal Manufacturing
334119	Other Computer Peripheral Equipment Manufacturing
334210	Telephone Apparatus Manufacturing
334220	Radiant Television Broadcasting and Wireless Communications Equipment Manufacturing
334290	Other Communications Equipment Manufacturing
334310	Audio and Video Equipment Manufacturing
334417	Electronic Connector Manufacturing
334418	Printed Circuit Assembly (Electronic Assembly) Mfg
334419	Other Electronic Component Manufacturing
334511	Search, Detection, Navigation, Guidance, Aeronautical, and Nautical System and Instrument Manufacturing
334512	Automatic Environmental Control Manufacturing for Residential, Commercial and Appliance Use
334513	Instruments and Related Products Manufacturing for Measuring, Displaying, and Controlling Industrial Process Variables
334514	Totalizing Fluid Meter and Counting Device Manufacturing
334518	Watch, Clock, and Part Manufacturing
334519	Other Measuring and Controlling Device Manufacturing
334611	Software Reproducing
334612	Prerecorded Compact Disc (except Software), Tape, and Record Reproducing
334613	Magnetic and Optical Recording Media Manufacturing
335000	<i>Electrical Equipment, Appliance and Component Manufacturing</i>
336000	<i>Transportation Equipment Manufacturing</i>
336112	Light Truck and Utility Vehicle Manufacturing
336120	Heavy Duty Truck Manufacturing
336211	Motor Vehicle Body Manufacturing
336212	Truck Trailer Manufacturing
336311	Carburetor, Piston, Piston Ring and Valve Manufacturing
336312	Gasoline Engine and Engine Parts Manufacturing
336321	Vehicular Lighting Equipment Manufacturing
336322	Other Motor Vehicle Electrical and Electronic Equipment Manufacturing
336330	Motor Vehicle Steering and Suspension Components (except Spring) Manufacturing
336340	Motor Vehicle Brake System Manufacturing
336350	Motor Vehicle Transmission and Power Train Parts Manufacturing
336360	Motor Vehicle Seating and Interior Trim Manufacturing
336370	Motor Vehicle Metal Stamping
336391	Motor Vehicle Air-Conditioning Manufacturing
336399	All Other Motor Vehicle Parts Manufacturing

336411	Aircraft Manufacturing
336510	Railroad Rolling Stock Manufacturing
336611	Ship Building and Repairing
336991	Motorcycle, Bicycle and Parts Manufacturing
336999	All Other Transportation Equipment Manufacturing
337000	<i>Furniture and Related Product Manufacturing</i>
337127	Institutional Furniture Manufacturing
337211	Wood Office Furniture Manufacturing
337214	Office Furniture (Except Wood) Manufacturing
337215	Showcase, Partition, Shelving, and Locker Manufacturing
337920	Blind and Shade Manufacturing
339000	<i>Miscellaneous Manufacturing</i>
339111	Laboratory Apparatus and Furniture Manufacturing
339950	Sign Manufacturing
339991	Gasket, Packing, and Sealing Device Manufacturing

420000	Wholesale Trade
423000	<i>Merchant Wholesalers, Durable Goods</i>
423110	Automobile and Other Motor Vehicle Merchant Wholesalers
423120	Motor Vehicle Supplies and New Parts Merchant Wholesalers
423130	Tire and Tube Merchant Wholesalers
423140	Motor Vehicle Parts (Used) Merchant Wholesalers
423210	Furniture Merchant Wholesalers
423310	Lumber, Plywood, Millwork, and Wood Panel Merchant Wholesalers
423320	Brick, Stone, and Related Construction Material Merchant Wholesalers
423330	Roofing, Siding, and Insulation Material Merchant Wholesalers
423390	Other Construction Material Merchant Wholesalers
423410	Photographic Equipment and Supplies Merchant Wholesalers
423420	Office Equipment Merchant Wholesalers
423430	Computer and Computer Peripheral Equipment and Software Merchant Wholesalers
423440	Other Commercial Equipment Merchant Wholesalers
423450	Medical, Dental, and Hospital Equipment and Supplies Merchant Wholesalers
423490	Other Professional Equipment and Supplies Merchant Wholesalers
423510	Metal Service Centers and Other Metal Merchant Wholesalers
423610	Electrical Apparatus and Equipment, Wiring Supplies, and Related Equipment Merchant Wholesalers
423620	Electrical and Electronic Appliance, Television, and Radio Set Merchant Wholesalers
423690	Other Electronic Parts and Equipment Merchant Wholesalers
423710	Hardware Merchant Wholesalers
423720	Plumbing and Heating Equipment and Supplies (Hydronics) Merchant Wholesalers
423730	Warm Air Heating and Air-Conditioning Equipment and Supplies Merchant Wholesalers
423740	Refrigeration Equipment and Supplies Merchant Wholesalers
423810	Construction and Mining (except Oil Well) Machinery and Equipment Merchant Wholesalers
423820	Farm and Garden Machinery and Equipment Merchant Wholesalers
423830	Industrial Machinery and Equipment Merchant Wholesalers
423840	Industrial Supplies Merchant Wholesalers
423850	Service Establishment Equipment and Supplies Merchant Wholesalers
423860	Transportation Equipment and Supplies (except Motor Vehicle) Merchant Wholesalers
423930	Recyclable Material Merchant Wholesalers
423940	Other Miscellaneous Durable Goods Merchant Wholesalers

***Note: evidence of State or other licensing is required in order to be classified in this industry, if applicable.**

California Unified Certification Program
List of NAICS Codes (partial)

424000	<i>Merchant Wholesalers, Nondurable Goods</i>
424110	Printing and Writing Paper Merchant Wholesalers
424120	Stationary and Office Supplies Merchant Wholesalers
424130	Industrial and Personal Service Paper Merchant Wholesalers
424210	Drugs and Druggists' Sundries Merchant Wholesalers
424310	Piece Goods, Notions, and Other Dry Goods Merchant Wholesalers
424320	Men's and Boys' Clothing and Furnishings Merchant Wholesalers
424330	Women's, Children's, and Infants' Clothing and Accessories Merchant Wholesalers
424340	Footwear Merchant Wholesalers
424410	General Line Grocery Merchant Wholesalers
424420	Packaged Frozen Food Merchant Wholesalers
424490	Other Grocery and Related Products Merchant Wholesalers
424610	Plastics Materials and Basic Forms and Shapes Merchant Wholesalers
424690	Other Chemical and Allied Products Merchant Wholesalers
424710	Petroleum Bulk Stations and Terminals
424720	Petroleum and Petroleum Products Merchant Wholesalers (except Bulk Stations and Terminals)
424920	Book, Periodical, and Newspaper Merchant Wholesalers
424930	Flower, Nursery Stock, and Florists' Supplies Merchant Wholesalers
424940	Tobacco and Tobacco Product Merchant Wholesalers
424950	Paint, Varnish, and Supplies Merchant Wholesalers
424990	Other Miscellaneous Nondurable Goods Merchant Wholesalers
425000	Wholesale Electronic Markets and Agents and Brokers
425110	Business to Business Electronic Markets
425120	Wholesale Trade Agents and Brokers
440000 - 459999	<i>Retail Trade</i>
441000	<i>Motor Vehicle and Parts Dealers</i>
441110	New Car Dealers
441120	Used Car Dealers
441221	Motorcycle Dealers
441222	Boat Dealers
441229	All Other Motor Vehicle Dealers
441229	Aircraft Dealers, Retail
441310	Automotive Parts and Accessories Stores
441320	Tire Dealers
442000	<i>Furniture and Home Furnishings Stores</i>
442110	Furniture Stores
442210	Floor Covering Stores
442291	Window Treatment Stores
442299	All Other Home Furnishings Stores
443000	<i>Electronics and Appliance Stores</i>
443111	Household Appliance Stores
443112	Radio, Television and Other Electronics Stores
443120	Computer and Software Stores
443130	Camera and Photographic Supplies Stores
444000	<i>Building Material and Garden Equipment and Supplies Dirs</i>
444110	Home Centers
444120	Paint and Wallpaper Stores
444130	Hardware Stores
444190	Other Building Material Dealers
444210	Outdoor Power Equipment Stores
444220	Nursery and Garden Centers
445000	<i>Food and Beverage Stores</i>

446000	<i>Health and Personal Care Stores</i>
447000	<i>Gasoline Stations</i>
448000	<i>Clothing and Clothing Accessories Stores</i>
448110	Men's Clothing Stores
448120	Women's Clothing Stores
448130	Children's and Infants' Clothing Stores
448140	Family Clothing Stores
448150	Clothing Accessories Stores
448190	Other Clothing Stores
448210	Shoe Stores
448320	Luggage and Leather Goods Stores
451000	<i>Sporting Good, Hobby, Book and Music Stores</i>
451211	Book Stores
451212	News Dealers and Newsstands
452000	<i>General Merchandise Store</i>
453000	<i>Miscellaneous Store Retailers</i>
453110	Florists
453210	Office Supplies and Stationery Stores
453220	Gift, Novelty and Souvenir Stores
453310	Used Merchandise Stores
454000	<i>Nonstore Retailers</i>
454111	Electronic Shopping
454112	Electronic Auctions
454113	Mail-Order Houses
454210	Vending Machine Operators
454311	Heating Oil Dealers
454312	Liquefied Petroleum Gas (Bottled Gas) Dealers
454319	Other Fuel Dealers
454390	Other Direct Selling Establishments
480000 - 499999	<i>Transportation</i>
481000	<i>Air Transportation</i>
481111	Scheduled Passenger Air Transportation
481112	Scheduled Freight Air Transportation
481211	Nonscheduled Chartered Passenger Air Transportation
481212	Nonscheduled Chartered Freight Air Transportation
481219	Other Nonscheduled Air Transportation
482000	<i>Rail Transportation</i>
483000	<i>Water Transportation</i>
484000	<i>Truck Transportation</i>
484110	General Freight Trucking, Local
484121	General Freight Trucking, Long-Distance, Truckload
484122	General Freight Trucking, Long-Distance, Less Than Truckload
484210	Used Household and Office Goods Moving
484220	Specialized Freight (except Used Goods) Trucking, Local
484230	Specialized Freight (except Used Goods) Trucking, Long-Distance
485000	<i>Transit and Ground Passenger Transportation</i>
485111	Mixed Mode Transit Systems
485112	Commuter Rail Systems
485113	Bus and Motor Vehicle Transit Systems
485119	Other Urban Transit Systems
485210	Interurban and Rural Bus Transportation
485310	Taxi Service
485320	Limousine Service
485410	School and Employee Bus Transportation
485510	Charter Bus Industry

***Note: evidence of State or other licensing is required in order to be classified in this industry, if applicable.**

California Unified Certification Program
List of NAICS Codes (partial)

485991	Special Needs Transportation
485999	All Other Transit and Ground Passenger Transportation
486000	<i>Pipeline Transportation</i>
487000	<i>Scenic and Sightseeing Transportation</i>
488000	<i>Support Activities for Transportation</i>
488111	Air Traffic Control
488119	Other Airport Operations
488190	Other Support Activities for Air Transportation
488210	Support Activities for Rail Transportation
488310	Port and Harbor Operations
488320	Marine Cargo Handling
488390	Other Support Activities for Water Transportation
488410	Motor Vehicle Towing
488490	Other Support Activities for Road Transportation
488510	Freight Transportation Arrangement
488991	Packing and Crating
488999	All Other Support Activities for Transportation
491000	<i>Postal Service</i>
492000	<i>Couriers and Messengers</i>
492110	Couriers
492210	Local Messengers and Local Delivery
493000	<i>Warehousing and Storage</i>
493110	General Warehousing and Storage
493120	Refrigerated Warehousing and Storage
493190	Other Warehousing and Storage
510000	<i>Information</i>
511000	<i>Publishing Industries (except Internet)</i>
511110	Newspaper Publishers
511120	Periodical Publishers
511130	Book Publishers
511140	Directory and Mailing List Publishers
511199	All Other Publishers
511210	Software Publishers
512110	Motion Picture and Video Production
512191	Teleproduction and Other Postproduction Services
512199	Other Motion Picture and Video Industries
512210	Record Production
512220	Integrated Record Production/Distribution
512240	Sound Recording Studios
512290	Other Sound Recording Industries
515000	<i>Broadcasting (except Internet)</i>
515111	Radio Networks*
515112	Radio Stations*
515120	Television Broadcasting*
515210	Cable and Other Subscription Programming
516000	<i>Internet Publishing and Broadcasting</i>
516110	Internet Publishing and Broadcasting
517000	<i>Telecommunications</i>
517110	Wired Telecommunications Carriers
517211	Paging
517212	Cellular and Other Wireless Telecommunications
517310	Telecommunications Resellers
517410	Satellite Telecommunications
517510	Cable and Other Program Distribution
517910	Other Telecommunications
	<i>Internet Service Providers, Web Search Portals, and Data Processing Services</i>
518000	
518111	Internet Service Providers

518112	Web Search Portals
518210	Data Processing, Hosting, and Related Services
519000	<i>Other Information Services</i>
519110	News Syndicates
519120	Libraries and Archives
519190	All Other Information Services
520000	<i>Finance and Insurance*</i>
522000	<i>Credit Intermediation and Related Activities</i>
522220	Sales Financing
522291	Consumer Lending
522292	Real Estate Credit
522298	All Other Non-Depository Credit Intermediation
522310	Mortgage and Nonmortgage Loan Brokers
	Financial Transactions Processing, Reserve, and Clearing House Activities
522320	
522390	Other Activities Related to Credit Intermediation
523000	<i>Financial Investments and Related Activities</i>
523110	Investment Banking and Securities Dealing
523120	Securities Brokerage
523130	Commodity Contracts Dealing
523140	Commodity Contracts Brokerage
523910	Miscellaneous Intermediation
523920	Portfolio Management
523930	Investment Advice
523991	Trust, Fiduciary and Custody Activities
523999	Miscellaneous Financial Investment Activities
524000	<i>Insurance Carriers and Related Activities</i>
524113	Direct Life Insurance Carriers
524114	Direct Health and Medical Insurance Carriers
524126	Direct Property and Casualty Insurance Carriers
524127	Direct Title Insurance Carriers
	Other Direct Insurance (except Life, Health and Medical) Carriers
524128	
524130	Reinsurance Carriers
524210	Insurance Agencies and Brokerages
524291	Claims Adjusting
524292	Third Party Administration of Insurance and Pension Funds
524298	All Other Insurance Related Activities
525000	<i>Funds, Trusts and Other Financial Vehicles</i>
525110	Pension Funds
525120	Health and Welfare Funds
525190	Other Insurance Funds
525910	Open-End Investment Funds
525920	Trusts, Estates, and Agency Accounts
525930	Real Estate Investment Trusts
525990	Other Financial Vehicles
530000	<i>Real Estate and Rental and Leasing</i>
531000	<i>Real Estate</i>
531120	Lessors of Nonresidential Buildings (except Miniwarehouses)
531130	Lessors of Miniwarehouses and Self Storage Units
531190	Lessors of Other Real Estate Property
531210	Offices of Real Estate Agents and Brokers*
531312	Nonresidential Property Managers
531320	Offices of Real Estate Appraisers*
531390	Other Activities Related to Real Estate
532000	<i>Rental and Leasing Services</i>
532111	Passenger Car Rental
532112	Passenger Car Leasing

*Note: evidence of State or other licensing is required in order to be classified in this industry, if applicable.

California Unified Certification Program
List of NAICS Codes (partial)

532120	Truck, Utility Trailer, and RV (Recreational Vehicle) Rental and Leasing
532210	Consumer Electronics and Appliances Rental
532299	All Other Consumer Goods Rental
532310	General Rental Centers
532411	Commercial Air, Rail, and Water Transportation Equipment Rental and Leasing
532412	Construction, Mining and Forestry Machinery and Equipment Rental and Leasing
532420	Office Machinery and Equipment Rental and Leasing
532490	Other Commercial and Industrial Machinery and Equipment Rental and Leasing
533110	Lessors of Nonfinancial Intangible Assets (except Copyrighted Works)
540000	Professional, Scientific and Technical Services
541110	Offices of Lawyers*
541191	Title Abstract and Settlement Offices
541199	All Other Legal Services
541211	Offices of Certified Public Accountants*
541213	Tax Preparation Services*
541214	Payroll Services
541219	Other Accounting Services
541310	Architectural Services*
541320	Landscape Architectural Services*
541330	Engineering Services*
541340	Drafting Services
541340	Map Drafting
541350	Building Inspection Services
541360	Geophysical Surveying and Mapping Services*
541370	Surveying and Mapping (except Geophysical) Services*
541380	Testing Laboratories
541410	Interior Design Services
541420	Industrial Design Services
541430	Graphic Design Services
541490	Other Specialized Design Services
541511	Custom Computer Programming Services
541512	Computer Systems Design Services
541513	Computer Facilities Management Services
541519	Other Computer Related Services
541611	Administrative Management and General Management Consulting Services
541612	Human Resources and Executive Search Consulting Services
541613	Marketing Consulting Services
541614	Process, Physical Distribution and Logistics Consulting Services
541618	Other Management Consulting Services
541620	Environmental Consulting Services
541690	Other Scientific and Technical Consulting Services
541710	Research and Development in the Physical, Engineering, and Life Sciences
541720	Research and Development in the Social Sciences and Humanities
541810	Advertising Agencies
541820	Public Relations Agencies
541830	Media Buying Agencies
541840	Media Representatives
541850	Display Advertising
541860	Direct Mail Advertising
541870	Advertising Material Distribution Services

541890	Other Services Related to Advertising
541910	Marketing Research and Public Opinion Polling
541922	Commercial Photography
541930	Translation and Interpretation Services
541990	All Other Professional, Scientific and Technical Services
550000	Management of Companies and Enterprises
551111	Offices of Bank Holding Companies
551112	Offices of Other Holding Companies
560000	Administrative and Support Services
561000	<i>Administrative and Support Services</i>
561110	Office Administrative Services
561210	Facilities Support Services
561210	Base Maintenance
561310	Employment Placement Agencies
561320	Temporary Help Services
561330	Employee Leasing Services
561410	Document Preparation Services
561421	Telephone Answering Services
561422	Telemarketing Bureaus
561431	Private Mail Centers
561439	Other Business Service Centers (including Copy Shops)
561440	Collection Agencies
561450	Credit Bureaus
561491	Repossession Services
561492	Court Reporting and Stenotype Services
561499	All Other Business Support Services
561510	Travel Agencies
561520	Tour Operators
561599	All Other Travel Arrangement and Reservation Services
561611	Investigation Services
561612	Security Guards and Patrol Services*
561613	Armored Car Services
561621	Security Systems Services (except Locksmiths)
561622	Locksmiths
561710	Exterminating and Pest Control Services*
561720	Janitorial Services
561730	Landscaping Services*
561740	Carpet and Upholstery Cleaning Services
561790	Other Services to Buildings and Dwellings
561910	Packaging and Labeling Services
561920	Convention and Trade Show Organizers
561990	All Other Support Services
562000	<i>Waste Management and Remediation Services</i>
562111	Solid Waste Collection
562112	Hazardous Waste Collection*
562119	Other Waste Collection
562211	Hazardous Waste Treatment and Disposal*
562219	Other Nonhazardous Waste Treatment and Disposal
562910	Remediation Services
562910	Environmental Remediation Services
562920	Materials Recovery Facilities
562998	All Other Miscellaneous Waste Management Services
610000	Educational Services
611410	Business and Secretarial Schools
611420	Computer Training
611430	Professional and Management Development Training
611512	Flight Training

*Note: evidence of State or other licensing is required in order to be classified in this industry, if applicable.

California Unified Certification Program
List of NAICS Codes (partial)

611513	Apprenticeship Training
611519	Other Technical and Trade Schools
611630	Language Schools
611691	Exam Preparation and Tutoring
611692	Automobile Driving Schools
611699	All Other Miscellaneous Schools and Instruction
611710	Educational Support Services
620000	Health Care and Social Assistance*
621000	<i>Ambulatory Health Care Services</i>
621110	Offices of Physicians
621210	Offices of Dentists
621310	Offices of Chiropractors
621320	Offices of Optometrists
621330	Offices of Mental Health Practitioners (except Physicians)
621340	Offices of Physical, Occupational and Speech Therapists and Audiologists
621391	Offices of Podiatrists
621399	Offices of All Other Miscellaneous Health Practitioners
621410	Family Planning Centers
621420	Outpatient Mental Health and Substance Abuse Centers
621492	Kidney Dialysis Centers
621493	Freestanding Ambulatory Surgical and Emergency Centers
621498	All Other Outpatient Care Centers
621511	Medical Laboratories
621512	Diagnostic Imaging Centers
621610	Home Health Care Services
621910	Ambulance Services
621999	All Other Miscellaneous Ambulatory Health Care Services--
622000	<i>Hospitals</i>
623000	<i>Nursing and Residential Care Facilities</i>
624000	<i>Social Assistance</i>
624110	Child and Youth Services
624120	Services for the Elderly and Persons with Disabilities
624190	Other Individual and Family Services
624210	Community Food Services
624221	Temporary Shelters
624229	Other Community Housing Services
624230	Emergency and Other Relief Services
624310	Vocational Rehabilitation Services
624410	Child Day Care Services
710000	Arts, Entertainment and Recreation
711000	Performing Arts, Spectator Sports and Related Industries
712000	Museums, Historical Sites and Similar Institutions
713000	Amusement, Gambling and Recreation Industries
720000	Accommodation and Food Services
721000	<i>Accommodation</i>
722000	<i>Food Services and Drinking Places</i>
722110	Full-Service Restaurants
722211	Limited-Service Restaurants
722212	Cafeterias
722213	Snack and Nonalcoholic Beverage Bars
722310	Food Service Contractors
722320	Caterers
722330	Mobile Food Services
722410	Drinking Places (Alcoholic Beverages)

810000	Other Services
811000	<i>Repair and Maintenance</i>
811111	General Automotive Repair
811112	Automotive Exhaust System Repair
811113	Automotive Transmission Repair
811118	Other Automotive Mechanical and Electrical Repair and Maintenance
811121	Automotive Body, Paint and Interior Repair and Maintenance
811122	Automotive Glass Replacement Shops
811191	Automotive Oil Change and Lubrication Shops
811192	Car Washes
811198	All Other Automotive Repair and Maintenance
811211	Consumer Electronics Repair and Maintenance
811212	Computer and Office Machine Repair and Maintenance
811213	Communication Equipment Repair and Maintenance
811219	Other Electronic and Precision Equipment Repair and Maintenance
811310	Commercial and Industrial Machinery and Equipment (except Automotive and Electronic) Repair and Maintenance
811411	Home and Garden Equipment Repair and Maintenance
811412	Appliance Repair and Maintenance
811420	Reupholstery and Furniture Repair
811430	Footwear and Leather Goods Repair
812000	<i>Personal and Laundry Services</i>
812320	Drycleaning and Laundry Services (except Coin-Operated)
812331	Linen Supply
812332	Industrial Launderers
812921	Photo Finishing Laboratories (except One-Hour)
812922	One-Hour Photo Finishing
812930	Parking Lots and Garages
813000	<i>Religious, Grantmaking, Civic, Professional and Similar Organizations</i>

*Note: evidence of State or other licensing is required in order to be classified in this industry, if applicable.

CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)



Roster of Certifying Agencies

Note: If you received this information on hard copy, the California Unified Certification Program Application Package is available on the website at <http://californiaucp.org/>

If the firm has its principal place of business in another state and is currently certified in that state, please contact the California Department of Transportation in the Northern Cluster.

<i>Southern Cluster</i>		
Area	Counties	Certifying Agencies
Riverside, Imperial & San Diego (RIS)	Imperial Riverside San Diego	<p><u>SUBMIT APPLICATION PACKAGE TO:</u></p> <ul style="list-style-type: none"> ➤ CITY OF LOS ANGELES* ➤ LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY <p style="text-align: center;"><u>OR</u></p> ➤ CALIFORNIA DEPARTMENT OF TRANSPORTATION <p style="text-align: center;">SEE CONTACT INFORMATION BELOW</p>
Los Angeles Area	Kern Los Angeles Orange San Bernardino San Luis Obispo Santa Barbara Ventura	<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>CITY OF LOS ANGELES* Bureau of Contract Admin. Centralized Certification Section 1149 S. Broadway, Ste 300 Los Angeles, CA 90015 Phone: (213) 847-2684 Fax: (213) 847-2777 http://bca.lacity.org</p> <p style="text-align: center;">*Only firms located within City of Los Angeles may apply</p> </div> <div style="width: 45%;"> <p>LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY (METRO) Diversity and Economic Opportunity Department Certification Unit One Gateway Plaza, MS 99-8-4 Los Angeles, CA 90012 Phone: (213) 922-2600 Fax: (213) 922-7660 Email: certificationunit@metro.net www.metro.net</p> </div> </div>

Roster

Northern Cluster			
Area	Counties	Certifying Agencies	
Bay Area/ Central Valley	Alameda	S.F. BAY AREA RAPID TRANSIT DISTRICT (BART)	SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY (SFMTA)
	Amador	Office of Civil Rights	Contract Compliance Office
	Calaveras	300 Lakeside Drive	1 South Van Ness Ave, 6th Floor
	Contra Costa	18 th Floor	San Francisco, CA 94103
	Fresno	Oakland, CA 94612	Phone: (415) 701-4436
	Kings	Phone: (510) 464-6100	Fax: (415) 701-4347
	Madera	Fax: (510) 464-7587	www.sfmuni.com
	Marin	www.bart.gov	SAN MATEO COUNTY TRANSIT DISTRICT (SAMTRANS)/ PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)
	Mariposa	CITY OF FRESNO	DBE Office
	Merced	DBE Program	1250 San Carlos Avenue
	Monterey	2101 G Street, Building A	San Carlos, CA 94070
	Napa	Fresno, CA 93706	Phone: (650) 508-7939
	San Benito	Phone: (559) 621-1132	Fax: (650) 508-7738
	San Francisco	Fax: (559) 488-1069	www.samtrans.com
	San Joaquin	www.fresno.gov	
	San Mateo	SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)	
	Santa Clara	Office of Small &	
	Santa Cruz	Disadvantaged Businesses	
	Solano	3331 North First Street, Bldg. A	
	Sonoma	San Jose, CA 95134-1906	
	Stanislaus	Phone: (408) 321-5962	
	Tulare	Fax: (408) 955-9729	
	Tuolumne	www.vta.org	
		CENTRAL CONTRA COSTA TRANSIT AUTHORITY (CCCTA)	
		Office of Civil Rights	
		2477 Arnold Industrial Way	
		Concord, CA 94520-5327	
		Phone: (925) 676-1976	
		Fax: (925) 686-2630	
		www.cccta.org	
Northern California	Alpine	CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)	YOLO COUNTY TRANSPORTATION DISTRICT (YOLOBUS)
	Butte	Office of Business and Economic	DBE Programs
	Colusa	Opportunity/MS 79	350 Industrial Way
	Del Norte	1823 - 14 th Street	Woodland, CA 95776
	El Dorado	Sacramento, CA 95814	Phone: (530) 402-2817
	Glenn	Phone: (916) 324-1700 or (866)	Fax: (530) 661-1732
	Humboldt	810-6346	www.yolobus.com
	Inyo	Fax: (916) 324-1862	
	Lake	www.dot.ca.gov	
	Lassen		
	Mendocino		
	Modoc		
	Mono		

* List of agencies subject to change

Updated 6/20/2012

Attachment 9

Procedures for Removal of DBE's Eligibility and Copy of the State's UCP Procedure

§ 26.89 49 CFR Subtitle A (10–1–10 Edition)

Office of the Secretary of Transportation § 26.87

§ 26.87 What procedures does a recipient use to remove a DBE's eligibility?

(a) Ineligibility complaints.

(1) Any person may file with the City a written complaint alleging that a currently-certified firm is ineligible and specifying the alleged reasons why the firm is ineligible. The City is not required to accept a general allegation that a firm is ineligible or an anonymous complaint. The complaint may include any information or arguments supporting the complainant's assertion that the firm is ineligible and should not continue to be certified. Confidentiality of complainants' identities must be protected as provided in § 26.109(b).

(2) The City must review its records concerning the firm, any material provided by the firm and the complainant, and other available information. The City may request additional information from the firm or conduct any other investigation that it deems necessary.

(3) If the City determines, based on this review, that there is reasonable cause to believe that the firm is ineligible, it must provide written notice to the firm that it proposes to find the firm ineligible, setting forth the reasons for the proposed determination. If the City determines that such reasonable cause does not exist, it must notify the complainant and the firm in writing of this determination and the reasons for it. All statements of reasons for findings on the issue of reasonable cause must specifically reference the evidence in the record on which each reason is based.

(b) Recipient-initiated proceedings. If, based on notification by the firm of a change in its circumstances or other information that comes to the City's attention, it determines that there is reasonable cause to believe that a currently certified firm is ineligible, it must provide written notice to the firm that it proposes to find the firm ineligible, setting forth the reasons for the proposed determination. The statement of reasons for the finding of reasonable cause must specifically reference the evidence in the record on which each reason is based.

(c) DOT directive to initiate proceeding.

(1) If the concerned operating administration determines that information in certification records, or other information available to the concerned operating administration, provides reasonable cause to believe that a firm certified does not meet the eligibility criteria of this part, the concerned operating administration may direct the City to initiate a proceeding to remove the firm's certification.

(2) The concerned operating administration must provide the City and the firm a notice setting forth the reasons for the directive, including any relevant documentation or other information.

(3) The City must immediately commence and prosecute a proceeding to remove eligibility as provided by paragraph (b) of this section.

(d) *Hearing.* When the City or California Unified Certification Program (CUCP) notifies a firm that there is reasonable cause to remove its eligibility, as provided in paragraph (a), (b), or (c) of this section, it must give the firm an opportunity for an informal hearing, at which the firm may respond to the reasons for the proposal to remove its eligibility in person and provide information and arguments concerning why it should remain certified.

(1) In such a proceeding, the CUCP bears the burden of proving, by a preponderance of the evidence, that the firm does not meet the certification standards of this part.

(2) The CUCP must maintain a complete record of the hearing, by any means acceptable under state law for the retention of a verbatim record of an administrative hearing. If there is an appeal to DOT under § 26.89, the CUCP must provide a transcript of the hearing to DOT and, on request, to the firm. The CUCP must retain the original record of the hearing. You may charge the firm only for the cost of copying the record.

(3) The firm may elect to present information and arguments in writing, without going to a hearing. In such a situation, the CUCP bears the same burden of proving, by a preponderance of the evidence, that the firm does not meet the certification standards, as it would during a hearing.

(e) *Separation of functions.* The CUCP must ensure that the decision in a proceeding to remove a firm's eligibility is made by an office and personnel that did not take part in actions leading to or seeking to implement the proposal to remove the firm's eligibility and are not subject, with respect to the matter, to direction from the office or personnel who did take part in these actions.

(1) The method of implementing this requirement is made part of the DBE program and outlined in the City's CUCP Agreement.

(2) The decision maker must be an individual who is knowledgeable about the certification requirements of the City's DBE program and this part.

(f) *Grounds for decision.* The CUCP must not base a decision to remove eligibility on a reinterpretation or changed opinion of information available to the recipient at the time of its certification of the firm. The CUCP may base such a decision only on one or more of the following:

(1) Changes in the firm's circumstances since the certification of the firm by the recipient that render the firm unable to meet the eligibility standards of this part;

(2) Information or evidence not available to it at the time the firm was certified;

(3) Information that was concealed or misrepresented by the firm in previous certification actions by a recipient;

(4) A change in the certification standards or requirements of the Department since the CUCP certified the firm; or

(5) A documented finding that the CUCP determination to certify the firm was factually erroneous.

(g) *Notice of decision.* Following the CUCP's decision, it must provide the firm written notice of the decision and the reasons for it, including specific references to the evidence in the record that supports

each reason for the decision. The notice must inform the firm of the consequences of your decision and of the availability of an appeal to the Department of Transportation under § 26.89. The CUCP must send copies of the notice to the complainant in an ineligibility complaint or the concerned operating administration that had directed it to initiate the proceeding.

(h) When the CUCP decertifies a DBE firm certified by the SBA, it must notify the SBA in writing. The notification must include the reason or denial.

(i) *Status of firm during proceeding.*

(1) A firm remains an eligible DBE during the pendency of the CUCP's proceeding to remove its eligibility.

(2) The firm does not become ineligible until the issuance of the notice provided for in paragraph (g) of this section.

(j) *Effects of removal of eligibility.*

When the CUCP removes a firm's eligibility, the City must take the following action:

(1) When a prime contractor has made a commitment to using the ineligible firm, or the City has made a commitment to using a DBE prime contractor, but a subcontract or contract has not been executed before issuing the decertification notice provided for in paragraph (g) of this section, the ineligible firm does not count toward the contract goal or overall goal. The City must direct the prime contractor to meet the contract goal with an eligible DBE firm or demonstrate that it has made a good faith effort to do so.

(2) If a prime contractor has executed a subcontract with the firm before the CUCP notified the firm of its ineligibility, the prime contractor may continue to use the firm on the contract and may continue to receive credit toward its DBE goal for the firm's work.

In this case, or in a case where the City let a prime contract to the DBE that was later ruled ineligible, the portion of the ineligible firm's performance of the contract remaining after the CUCP issued the notice of its ineligibility shall not count toward the City's overall goal, but may count toward the contract goal.

(3) *Exception:* If the DBE's ineligibility is caused solely by its having exceeded the size standard during the performance of the contract, the City will continue to count its participation on that contract toward overall and contract goals.

(k) *Availability of appeal.* When the CUCP makes an administratively final removal of a firm's eligibility under this section, the firm may appeal the removal to the Department under § 26.89.

[64 FR 5126, Feb. 2, 1999, as amended at 68 FR 35556, June 16, 2003]

California Unified Certification Program (UCP)

Memorandum of Agreement

March 21, 2006

- 4.05 **Ineligibility Complaints:** Any UCP Member has the right to initiate an Ineligibility Complaint of any DBE-certified firm included in the UCP DBE Database. The complaint must be in writing and specify the alleged reasons why the firm is ineligible.

To ensure firms previously denied and decertified as ineligible do not become included in the UCP DBE Database until at least twelve months from denial or decertification, all UCP Members will periodically review the firms listed in the DBE Database. Where firms are identified that were previously denied or decertified by a Certifying Member (CM) Agency, and that CM Agency has cause to believe the firm continues to be ineligible for certification, that CM Agency will forward an ineligibility complaint to the current CM Agency. Upon receipt of the ineligibility complaint, the current CM Agency will review any new evidence, request additional information from the firm and/or conduct a site visit review, if deemed necessary, and make its determination. The CM Agency will report to the Regional Cluster on its findings. Information on this action will be input into the UCP Database by the CM Agency after the firm has been afforded due process under 26.87 and 26.89.

The UCP DBE Database will designate firms that have been denied certification, removed and decertified as ineligible; and the UCP Database system will reject new applications from the same company. A previously rejected applicant firm will be referred to the CM Agency that issued the denial, removal or decertification.

- 4.06 **Disputes:** The UCP Executive Committee will resolve disputes that cannot be resolved between or among CM Agencies.

Attachment 10

Signed UCP Agreement Form

CUCP AGREEMENT/DECLARATION OF STATUS LETTER

TO: CALIFORNIA UNIFIED CERTIFICATION PROGRAM (CUCP)

FROM: City of Long Beach, (Recipient)
Address: 333 W. Ocean Boulevard, Long Beach, CA 90802

Recipient hereby acknowledges and agrees that:

- (1) As a recipient of Federal Financial Assistance from the U.S. Department of Transportation (DOT), Recipient has an established Disadvantaged Business Enterprise (DBE) program in accordance with 49 CFR Part 26.
- (2) By this Letter, Recipient officially becomes a signatory to the Memorandum of Agreement (MOA) for the establishment of a Unified Certification Program among all U.S. DOT recipients in California, as approved by the Secretary of Transportation on March 13, 2002, and amended on March 21, 2006.
- (3) In accordance with said MOA, Recipient hereby makes a declaration to become either a Certifying CUCP Member or a Non-Certifying CUCP Member.
 - (a) A Certifying CUCP Member maintains DBE certification processes including reviewing DBE applications, conducting site visits and making decisions on DBE status; processing annual updates; maintaining DBE certification files; and conducting appeal and third party challenge hearings. A Certifying CUCP Member is responsible for providing certification information and updates for inclusion in the DBE Database.
 - (b) A Non-Certifying CUCP Member does not process DBE certifications for inclusion in the DBE Database.
- (4) CUCP Members may be requested to contribute funds to support the CUCP.
- (5) All CUCP Members will accept the DBE status of firms included in the DBE Database for use in their contracting activities.

Based on the foregoing, Recipient hereby declares its status as:

☐ A CERTIFYING CUCP MEMBER
☒ A NON-CERTIFYING CUCP MEMBER

APPROVED AS TO FORM

6/5, 2012
ROBERT E. SHANNON, City Attorney

By LINDA TRANG
CITY ATTORNEY

Recipient may change its status upon submission of a new Declaration Letter to the Chair of the CUCP.

DATE: 06-05-2012

(Signature of Recipient Agency Official)

Erik Sund, Manager, Business Relations

(Name and Title)

Participation in CUCP acknowledged:

Date
(Secretary California Unified Certification Program)

Date
(Chair, California Unified Certification Program)

Attachment 11

Uniform Report of DBE Awards & Commitment

UNIFORM REPORT OF DBE AWARDS OR COMMITMENTS AND PAYMENTS									
Please refer to the Instructions sheet for directions on filling out this form									
1. Submitted to (check only one): <input type="checkbox"/> FHWA <input type="checkbox"/> FAA <input type="checkbox"/> FTA--Vendor Number _____									
2. AIP Numbers (FAA Recipients Only):									
3. Federal fiscal year in which reporting period falls: FY _____									
4. Date This Report Submitted: _____									
5. Reporting Period <input type="checkbox"/> Report due June 1 (for period Oct. 1-Mar. 31) <input type="checkbox"/> Report due Dec. 1 (for period April 1-Sept. 30)									
6. Name of Recipient: _____									
7. Annual DBE Goal(s): Race Conscious Goal _____ % Race Neutral Goal _____ % OVERALL Goal _____ %									
AWARDS/COMMITMENTS MADE DURING THIS REPORTING PERIOD (total contracts and subcontracts awarded or committed during this reporting period)	A Total Dollars	B Total Number	C Total to DBEs (dollars)	D Total to DBEs (number)	E Total to DBEs /Race Conscious (dollars)	F Total to DBEs/Race Conscious (number)	G Total to DBEs/Race Neutral (dollars)	H Total to DBEs/Race Neutral (number)	I Percentage of total dollars to DBEs
8. Prime contracts awarded this period									
9. Subcontracts awarded/committed this period									
TOTAL									
DBE AWARDS/COMMITMENTS THIS REPORTING PERIOD-BREAKDOWN BY ETHNICITY & GENDER	A Black American	B Hispanic American	C Native American	D Subcont. Asian American	E Asian-Pacific American	F Non-Minority Women	G Other (i.e. not of any other group listed here)	H TOTALS (for this reporting period only)	I Year-End TOTALS
10. Total Number of Contracts (Prime and Sub)									
11. Total Dollar Value									
ACTUAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	A Number of Prime Contracts Completed	B Total Dollar Value of Prime Contracts Completed	C DBE Participation Needed to Meet Goal (Dollars)	D Total DBE Participation (Dollars)	E Percentage of Total DBE Participation				
12. Race Conscious									
13. Race Neutral									
14. Totals									
15. Submitted by (Print Name of Authorized Representative)					16. Signature of Authorized Representative				
17. Phone Number:					18. Fax Number:				

Attachment 12

List of Minority Owned Banks

MINORITY OWNED CA FINANCIAL INSTITUTIONS

Evergreen International Bank (formerly Golden Coast Bank)

Contact: Ms. Terry Stalk, CFO
850 Long Beach Boulevard
Long Beach, CA 90813
Routing and Transit (ABA) #: 122244508
Phone #: 562-216-6388
Fax #: 562-216-6399
<http://www.goldencoastbank.com/>
info@evergreeninternationalbank.com

Beach Business Bank

Contact:
180 E. Ocean Blvd., Suite 100
Lobby Level
Long Beach, CA 90802
Routing and Transit (ABA) #: 122243774
Phone #: 562-481-3400
info@beachbusinessbank.com

OneUnited Bank

Chairman & CEO: Kevin Cohee

Customer Support
3683 Crenshaw Blvd.
Los Angeles, CA 90016
Phone: (323) 290-4848
Fax: (323) 389-0548
Web Site: <https://www.oneunited.com/>
***First black internet bank & largest black owned bank in country (offices in Los Angeles, Boston & Miami)

Attachment 13

List of Organizations

Long Beach Area Business/Community Organizations

Attachment 13

Organization	Address	City	State	Zip	Contact	Title	Telephone	Extension	Fax	Email	Website	Meeting Day	Frequency
American Business Women's Assn - Diamonds of Southern													
Anti Council for Long Beach	350 Elm Avenue	Long Beach	CA	90802	Cecilia Harris Walker	Vice Chair of IMPACT ABWA Council	(562) 591-2625			CharmyWalker@aol.com	http://www.abwa.net	Monday	1st
Banana Shop Business Assn	200 N 4th Avenue Suite 200-B	Long Beach	CA	90802	John A. Glaze	Human Executive Director	(562) 433-2787			john_glaze@att.net	http://www.abwa.org	Thursday	3rd Monthly
Bay Keys Business Assn	4313 Atlantic Avenue	Long Beach	CA	90803	Dana Ross	Executive Director	(562) 434-3066			BSBA@bentonsouth.org	http://www.abwa.org	Thursday	1st
Business Network International - Long Beach/South Bay Chapter	8351 La Brea Ave #430	Long Beach	CA	90807	Barry Dunn	President	(562) 595-0281			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
CAABA - Camarillo American Business Assn	1365 Raymond Ave Ste C	Long Beach	CA	90804	Barry Dunn	Executive Director	(888) 474-6360	3		mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Centis Club, Inc. - Long Beach Community Hispanic Association	727 Pine Ave	Long Beach	CA	90813	Reseda Quintana	Executive Director/President	(562) 591-4722			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
City of Long Beach - Development Services	313 W. Ocean Blvd. 4th Floor	Long Beach	CA	90802	Amey J. Beak	ADP Director	(562) 591-4722			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
City of Long Beach - Public Works Department	313 W. Ocean Blvd. 4th Floor	Long Beach	CA	90802	Michael P. Conway	Director Public Works Department	(562) 591-4722			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Downham Long Beach Assoc.	100 W. Broadway Ste 120	Long Beach	CA	90802	John S. Saperstein	Chairman	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
East Anaheim Street Business Alliance		Long Beach	CA	90804	Rod Wilson	President	(562) 494-3800			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
East Village Association		Long Beach	CA	90802	Michael Messel	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Fourth Street Business Assn	P.O. Box 4250	Long Beach	CA	90814	Diane Cerullo	Press Inquiry (562) 366-8869	(562) 222-8865			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Hispanic Business Assn (CSU B)	1230 Broadway Blvd	Long Beach	CA	90803	John Saperstein	Chairman	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
International Business Assn (L.B Area Chamber of Commerce)	4130 Norse Way	Long Beach	CA	90803	Michael P. Conway	Director Public Works Department	(562) 591-4722			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Lakewood Village Business Association	120 South San Pedro Street Suite 500	Long Beach	CA	90808	Marlene Gomez	President/Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Latin Business Leaders Assn		Long Beach	CA	90812	Ruben Guerra	Chairman/President	(714) 624-4810			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
L.B. Commercial Real Estate Council		Long Beach	CA		Randy Jones	President & Treasurer	(310) 327-8700			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
L.B. Community Business Network (LBCN)	P.O. Box 21452	Long Beach	CA	90801	Laura Lara	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
LBCN Assoc. of Long Beach, Long Beach Office	601 Pacific Avenue	Long Beach	CA	90802	Nate B. Martin	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Area Chamber of Commerce	1 World Trade Center Ste 200	Long Beach	CA	90801	Robert G. Geron	President & CEO	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Bar Association	3515 Linden Ave	Long Beach	CA	90807	Angela Vilasca, Esq	Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Community Action Partnership (LBCAP)	3012 Long Beach Boulevard	Long Beach	CA	90807	Dan J. Simonson	Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Convention & Visitors Bureau	301 E. Ocean Blvd Suite 1000	Long Beach	CA	90802	Shawn Gooding	President & CEO	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Housing Chamber of Commerce		Long Beach	CA							mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Korean Chamber of Commerce	4700 Long Beach Blvd	Long Beach	CA	90805	K. T. Lee	President	(562) 250-0018			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach National Partnership	3515 Linden Ave	Long Beach	CA	90807	Chris Mann	Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Plaza Merchants Assn	451 Long Beach Blvd	Long Beach	CA	90802	Pau D'Alejo	General Manager	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Professional Group	1065 W. Pear St	Long Beach	CA	90802	Don Young	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Long Beach Restaurant Assn	5555 Main Lumber Ave. L. Avenue	Long Beach	CA	90803	Rosemarie Burgos	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
NAABO - Long Beach Chapter	5555 Main Lumber Ave. L. Avenue	Long Beach	CA	90803	Rosemarie Burgos	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Norse Way Business Assn	4339 E. Carson	Long Beach	CA	90808	Arturo Garcia	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
North Long Beach Business Assn	P.O. Box 5843	Long Beach	CA	90805	Dan J. Simonson	Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
North Long Beach Community Action Group	1421 E. 60th Street	Long Beach	CA	90805	Dan J. Simonson	Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
On Broadway Merchant Association	E. Broadway	Long Beach	CA	90805	Dan J. Simonson	Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Pacific Gateway Investment Network	3447 Atlantic Avenue	Long Beach	CA	90807	Dan J. Simonson	Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
Road Park Neighborhood Association	3350 E. 7th St. #100	Long Beach	CA	90804	Steve Williams	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
South Coast Chamber of Commerce	759 Linden Ave	Long Beach	CA	90803	Steve Williams	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
United Way, Harbor Area Office	3315 Linden Avenue	Long Beach	CA	90807	Steve Williams	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
World Trade Center	P.O. Box 6442	Long Beach	CA	90808	Marlene Gomez	President/Executive Director	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
West Long Beach Assn	3150 Santa Fe Ave P.O. Box 9422	Long Beach	CA	90801	John M. Tadeo	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th
West Long Beach Assn	1415 Cedar Ave	Long Beach	CA	90813	John M. Tadeo	President	(562) 434-4259			mbsb@bentonsouth.org	http://www.abwa.org	Thursday	4th